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ABSTRACT

The sessions of this management instructor guide are an updating, clarification, modification, and completion of a previous instructor guide for Basic Management Techniques II. Topics covered are communication barriers, effective listening, briefing techniques; problem analysis; decision making; financial management; management theory; labor-management relations; personnel management. A preview precedes each session indicating changes from the old manual, alternate approaches to presentation of material, and references for background information. The main theme of communications is interrelated throughout the various sessions. Management games, films, and effective listening materials are referenced for use. (EA)

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INSTRUCTOR GUIDE

BASIC

MANAGEMENT

METHODS

AND

SKILLS

United States Civil Service Commission
Bureau of Training
General Management Training Center
Washington, D.C.

1973

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UNITED STATES CIVIL SERVICE COMMISSION
INTERAGENCY TRAINING PROGRAM

FOREWORD

The instructor guide for this course, Basic Management Methods and Skills, is an updating, clarification, modification, and completion of the instructor guide for Basic Management Techniques II, draft copy--incomplete, revised 1972. Whenever the term "old Manual" appears in this instructor's guide, it will always refer to that manual. The approach used in writing these instructor guidelines was to RETAIN AS MUCH AS POSSIBLE OF THE OLD MANUAL BUT TO DO WHAT WAS NECESSARY AND PRACTICAL TO ACHIEVE UNITY AND COHERENCE OF CONTENT.

The instructor will notice that two of the topics as separate sessions are new (labor-management relations and briefing techniques); other sessions have changed in form (e.g., material on interviewing and conference leadership, formerly a class session, is changed to a printout, but with the suggestion to use the old manual treatment of the material if thought appropriate by the instructor); some have changed in content (e.g., financial management); some old manual material appears in a different place in the course (e.g., material on managerial concepts and theory appears later in the course in a different format but still uses the Gellerman series of films on Theory X and Y); and some portions of the old manual are reprinted with modification (e.g., communications barriers and decision making).

A Preview precedes each session indicating the changes from the old manual and suggesting alternative approaches to presentation of material as well as references for background information for the instructor.

The common theme of communications threads through the course. The instructor should relate during each session the communications principles and observations made on the first day of the course. An attempt is made at the beginning of each session, either in the Preview or the manual session itself, to reference the communications theme. However, specific relationships during each session to communications principles are left up to the skill of the instructor. The instructor should point out--and encourage the participants to point out--any violations and demonstrations of good communications during the week by the participants and instructor alike.

No textbook is used. However, for the instructor, the former textbook, Essentials of Management by Joseph L. Massie, may be helpful in the session on management theory. The instructor will note that this session suggests a departure from the straight lecture format.

No new major course materials are required for purchase. The same management games, films, and effective listening materials are referenced for use. In the session on briefing techniques the use of videotape recording and playback is encouraged if available. One new Harvard Business Review reprint "The Well-Read Manager" has been added. It should be noted that the Harvard Business Review reprints are not referenced by printout numbers.

A resource speaker is recommended for the financial management session and is desirable for the labor-management relations, briefing techniques, and personnel management sessions. Alternative course material in lieu of a speaker is included when possible.

The cluster arrangement of tables and seats in the classroom is recommended for this course.

Videotaping is recommended for use during the session on briefing techniques. The instructor should feel free to make further use of this technique wherever it may provide meaningful and useful feedback to the participants.

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COURSE CONTENT

SESSION I:	Introduction
SESSION II:	Communications Barriers Effective Listening Briefing Techniques
SESSION III:	Problem Analysis
SESSION IV:	Decisionmaking
SESSION V:	Financial Management
SESSION VI:	Management Theory
SESSION VII:	Labor-Management Relations
SESSION VIII:	Personnel Management

Summary, Conclusions, Course Evaluation

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SUGGESTED SCHEDULE

FIRST DAY

A.M. Introduction
Communications Barriers

P.M. Effective Listening

SECOND DAY

A.M. Briefing Techniques

P.M. Problem Analysis

THIRD DAY

A.M. Conclude Problem Analysis
Decisionmaking

P.M. Conclude Decisionmaking

FOURTH DAY

A.M. Financial Management

P.M. Management Theory

FIFTH DAY

A.M. Conclude Management Theory
Labor-Management Relations

P.M. Personnel Management
Summary, Conclusions, Course Evaluation

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LIST OF PRINTOUTS

P1	Course Objectives
P2	Inference or Fact
P3	Charged Words
P4	Briefing
P5	Briefing Checklist
P6	Briefing Exercise: Team Leader Instructions
P7	Briefing Situation 1
P8	Briefing Situation 2
P9	Briefing Situation 3
P10	Briefing Situation 4
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P11A	Briefing Evaluation
P12	Interviewing
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P14	Problem Analysis Chart
P15	Seven Point Summary--Problem Analysis
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P17	Decision--Home Buying
P18	Essential/Desirable Chart
P19	Governmental Financial Management: A Programmed Exercise
P20	Case Problem: Computer vs. Manual System
P21	Present Value Chart
P22	An Answer
P23	Additional Considerations
P24	Management Theory Checklist
P25	Bibliography
P26	Motivating Subordinates
P27	Labor Management Relations: Case 1
P28	Labor Management Relations: Case 2
P29	Labor Management Relations: Case 3
P30	Labor Management Relations: Case 4
P31	Merit Promotion
P32	EEO: 3 Cases
P33	Procedures for Processing Complaints ...
P34	Responsibility for EEO: The Manager's and Supervisor's Checklist
P35	A. Role Playing--Drugs: Employee
P36	A. Role Playing--Drugs: Supervisor
P37	B. Role Playing--Alcohol: Supervisor
P38	B. Role Playing--Alcohol: Employee
P39	C. Role Playing--Emotionally Depressed: Supervisor
P40	C. Role Playing--Emotionally Depressed: Employee

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SESSION I

INTRODUCTION

The introductory session should cover the following items in whatever format is comfortable for the instructor:

--WELCOME.
--COURSE OBJECTIVES (see PRINTOUT P1).
--HOW BASIC MANAGEMENT METHODS AND SKILLS FITS INTO THE 4-COURSE SUPERVISORY STRATEGY (INTRO., BASIC MANAGEMENT FUNCTIONS, BASIC MANAGEMENT METHODS AND SKILLS, SUP. GRP.).
--COURSE TECHNIQUES.
--SELF-INTRODUCTION.
--PARTICIPANT INTRODUCTIONS.
--ANY ADMINISTRATIVE DETAILS.

SUGGESTION FOR CONDUCTING PARTICIPANT INTRODUCTIONS:

FORM PAIRS

--HAVE PARTICIPANTS FORM PAIRS.
--SAY: Assume you are interviewing a new employee in your unit to introduce that person to the work group. You are the supervisor.
The work group for this purpose is our class made up of participants interested in supervisory knowledge. Obtain the information you would need to inform the group about your interviewee.
(YOU ARE NOT TO BE THINKING OF YOUR WORK GROUP BACK AT YOUR AGENCY.)
--SAY: Each member of each pair will be interviewed and interview.

YOU HAVE 10 MINUTES TO COMPLETE THE TWO INTERVIEWS.

INSTRUCTOR'S NOTE ——> After all the introductions are completed you might add that every supervisor can use improvement in interviewing skills. The course will touch on interviewing. If there are courses available on interviewing skills through the Personnel Management Training Institute, you could mention them at this point.

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SESSION II

COMMUNICATIONS

PREVIEW

Communications is the general theme which threads through the course. All of the other sessions should be viewed as carrying out the material presented in this session in specific ways. That is, difficulties in dealing with problems, making decisions, personnel problems, etc., may well be caused by communications difficulties.

This session embraces the topical areas of communications barriers in general, effective listening, and briefing. (See pg. vi for time breakdown for each topical area.)

The material on communications barriers in general is presented in two alternative suggested formats. Alternative A is essentially that from the old Manual with some minor additions and deletions. Alternative B suggests a different format which discusses the issues of good vs. open communications before dealing with barriers. The instructor should select the alternative guidelines which best suit individual style.

The material on effective listening is based on two exercises from Sterling Institute. However, the instructor may substitute other comparable exercises. Two books recommended as background reading on effective listening are: Listen, Management! Wm. F. Keefe. McGraw-Hill, 1971. Listening Behavior. Larry L. Barker. Prentice Hall, 1971.

The printout "Barriers and Gateways to Communications" has been eliminated.

The material on Interviewing Techniques and Conference Leadership have been turned into participant printouts. You will notice they are essentially verbatim copies of the old Manual material.

A session on briefing has been added to replace the time in class spent with interviewing techniques and conference leadership. Videotaping is desirable in this session, but can be conducted without it. It is not a difficult session to conduct even if the instructor has had no background in briefing techniques. However, a resource person may be utilized to conduct the session. If for any reason this briefing unit poses any particularly difficult problems, the material on interviewing techniques and conference leadership can be used as a content session during class,

with the printouts as discussion stimulation for the session. Or the instructor can withhold the printouts and conduct the session as in the old Manual.

The printouts on "Fact vs. Inference" and "Charged Words" are retained.

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COMMUNICATIONS BARRIERS

ALTERNATIVE A

COMMUNICATIONS--A COMPLEX BUT ESSENTIAL PROCESS

Communications is basic to the proper execution of every phase of management. We all need to be aware of the things which can and do go wrong in communications, to learn to identify them in our own work situations and to learn how to deal with them.

A supervisor rarely improves his communicating skills simply through practice. Continuous scrutiny of all forms of communications expression, analysis and evaluation of personal skills, individual practice and training, constant feedback, a desire to understand and be understood are prerequisites to improvement of this critical management skill.

LISTENING--AN IMPORTANT SKILL

We must pay attention to the listening part of communicating because there is evidence it can be a major deficiency.

A manager must be a filter through which relevant and significant information passes.

BOTH CONCEPTS AND EMOTIONAL FEELINGS ARE COMMUNICATED

Both concepts and emotional feelings are communicated. For example, a word can convey both a conceptual meaning as well as an emotional meaning.

PHYSICAL BARRIERS DISAPPEARING--PSYCHOLOGICAL OBSTACLES REMAIN

Even when physical barriers to communications are overcome, psychological obstacles remain. Most of us are slipshod in our use of words, careless in watching for signs of possible misunderstanding in other people, and often inattentive as listeners. A prime obstacle to every form of communications is the fact of difference. The great gap is the gap in background, experience, and motivations between ourselves and those with whom we communicate.

CONSIDER THE WHOLE PERSON, NOT JUST WORDS

One must look at people, not just words. Examine their ways of talking, listening, and thinking--their language habits.

<u>BODY LANGUAGE</u>, BY
JULIUS FAST EVANS, 1970

INABILITY TO BE UNDERSTOOD IS THE PRIME PROBLEM

The difficulty in oral communications lies not in our inability to speak, but in our inability to be understood. We assume that words, phrases, and facts mean the same to the listener as they do to us, but this is seldom true. When others speak to us, we often hear not what is said but rather what we want to hear.

MAJOR BARRIER

One of the major barriers to interpersonal communications is our natural tendency to evaluate, that is to approve or disapprove the statement of the other person. Of course we also tend to evaluate from our point of view, our own frame of reference. Although the tendency to make evaluations is common in almost all interchange of language, it is very much heightened in those situations where feelings and emotions are deeply involved. So the stronger our feelings, the more likely it is that there will be no mutual element in the communication. There will be just two ideas, two feelings, two judgments, missing each other in psychological space. A solution is listening with understanding. This means to attempt to visualize the idea and attitude from the other person's point of view, to sense how it feels to him, to achieve his frame of reference in regard to the thing he is talking about. This may sound absurdly simple, but it is not, for two reasons.

A SOLUTION IS LISTENING WITH UNDERSTANDING

EMPATHY TAKES COURAGE

If we really understand another person in this way, if we are willing to enter his private world and see the way life appears to him, without any attempt to make evaluative judgments, we run the risk of being changed ourselves. We might see it his way; we might find ourselves influenced in our attitudes or our personality. And this takes real courage.

The second difficulty of listening with understanding is that just when emotions are strongest it is most difficult to achieve the frame of reference of the other person or group.

BLACKBOARD:
MAIN COMMUNICATIONS
PROBLEMS IN YOUR OWN
AGENCY AND WORK
SITUATION

In considering your own work situation, what are the main recurring problems in communications? Consider your own agency and job. Write down one or two problems. /This should stimulate discussion concerning the problems and enable the instructor to lead the discussion into the causes of breakdowns in communications./

INSTRUCTOR'S NOTE ⟶ The problems can be discussed or listed on the blac rd.

POSSIBLE ANSWERS

Possible answers:
- --Failure to listen.
- --Too much information that is not pertinent to the receiver.
- --Too vague.

Many of the causes of breakdowns in communications may be summarized as follows:

WORDS MEAN
DIFFERENT THINGS

1. Words mean different things to different people. Essentially, language is a method of using symbols to represent facts and feelings. We cannot convey meaning; all we can do is convey words. And yet the same words may suggest quite different meanings to different people. The meanings are in the people, not in the words.

EXAMPLE: "EXECUTED"

In Cleveland, Robert Harris, 40, a handyman, was found guilty in traffic court of driving while drunk.

"One hundred dollars and costs," intoned Judge Perry Frey, "to be executed July 2."

"My God, Judge," exclaimed Harris, fainting dead away.

When Harris was revived, Judge Frey explained that the word "executed" in legal lingo meant that Harris had until July 2 to pay the fine.

SYMBOLIC
MEANINGS

2. Words have symbolic meanings. For some people, a particular word may have a symbolic meaning that others overlook. When we use words of this sort, we may find ourselves communicating things we had no intention of saying.

EXAMPLE: "FAST"

Let us examine the word "<u>fast</u>." We all know what is meant by a fast horse on the race track; but if that horse is tied fast to the post when the race begins, that otherwise fast horse will be slow! Fast horses run fast when they are not tied fast; but fast colors do not run at all! Fast photographic film is sensitive to light, fast bacteria are not sensitive to light! In a religious fast we abstain from something, while fast women abstain from practically nothing at all! (In this last connection, if a girl says to a boy, "You are going too far," she may mean, "You are coming too close.")

DIFFERENT PERCEPTIONS

3. We have different perceptions. People interpret the same situation in different ways, depending on their previous experience. The individual rarely changes his mind by himself. His attitude toward politics, music, recreation, work, and all his other activities and interests are largely colored by the group with which he identifies himself.

EXAMPLE: "GODSPEED"

Three elderly sisters, famous for their charities, were left $300 by a local citizen who passed away. One immediately sent her $100 to the Red Cross. The second sister sent $50 to the March of Dimes and $50 to the Cancer Fund. The third sister, however, met a shabbily dressed man on the street and impulsively pressed the $100 into his thin, trembling hand. She smiled warmly and whispered, "Godspeed."

The next day the shabbily dressed man knocked at the door of the sisters' house. "Do you want to see me?" asked the third sister.

"Yeah, lady," said the man. "Here's your $700. Godspeed came in first and paid seven to one."

We do not know how the other person perceives the situation. We may try to frame, with utmost sincerity, a message that will break the communications barrier and carry an appropriate meaning to those to whom it is directed. But in many instances we know

too little about their point of view, and our efforts miscarry. It is very difficult to understand information that is outside our experience, no matter how simply and clearly the information is presented by the sender.

EXAMPLE: GUM

In New Mexico, when an airline hostess passed out chewing gum with the routine instruction "for the ears," a lady passenger later complained, "It worked all right, but couldn't you use something not so sticky?"

EXAMPLE: RECOMMENDATION

A man was once asked to give a recommendation for one of his former employees. He wrote, "I know him very well and I can't recommend him too highly." What did he mean?

EVALUATE THE SOURCE

4. We evaluate the source. Not only does the receiver evaluate what he hears in terms of his own background and experience; he also takes the sender into account. Often the receiver ascribes nonexistent motives to the sender. It is extremely difficult for us to separate what we hear from our feelings about the person who says it.

EXAMPLE: COAT

She had unwrapped a beautiful skunk coat which her husband had placed beside the Christmas tree.

"I can't see how such a nice coat can come from such a foul-smelling little beast," she remarked.

"I don't ask for thanks," replied her husband, "but I do demand respect."

HEAR WHAT WE EXPECT TO HEAR

5. We hear what we expect to hear. What we hear or understand when someone speaks to us is largely shaped by our own experience and background. Instead of hearing what people tell us, we hear what our mind tells us has been said. These may be the same things, or very different things. We all tend to have preconceived ideas of what people mean; when we hear something new we tend to identify it with something similar that we have experienced in the past. We

tend to reject new ideas, particularly if they conflict with what we already believe. Our communications apparatus works like a filter; we tend to note only those things that confirm our present beliefs.

EXAMPLE: MAKING ASSUMPTIONS

Louise Baker, one-legged humorist, who wrote the rollicking Out On a Limb, shared a cabin in one Atlantic crossing with a lady who thought she needed special mothering. Miss Baker had a fine time on board, and invariably retired very late. The lady demanded, "Will you tell me what a young lady on crutches does on shipboard until one o'clock in the morning?"

"What do you think young ladies without crutches do?" asked Miss Baker.

"Oh my goodness," gasped the dowager, "You don't do that, do you?"

EMOTIONAL STATES

6. Our emotional state conditions what we hear. When we are insecure, worried, or fearful, what we see and hear seems more threatening than when we are secure and at peace with the world. When we are angry or depressed, we tend to reject out of hand what might otherwise seem like reasonable requests or good ideas. Our gloom and despair color everything we do and see.

MEANINGS ARE IN PEOPLE

Of course, there are as many points of view as there are persons. In other words, meaning is not in words or situations as such--meaning is in the person! What any word or situation means to a particular person will be determined by that individual's particular background, attitudes, and the nature of the situation.

NOTE: Experiments have demonstrated that when a message is given to A, A relates it to B, B to C, etc. At the end of its route, the message will be quite different.

SELECTIVE PERCEPTIONS (OUR EDUCATIONAL, CULTURAL, ECONOMIC, ETC., BACKGROUNDS GET IN THE WAY)

Three human tendencies are operative here: the tendencies to select, to add (project), and to distort. A message is subject to all three actions: elimination of facts by selection, addition of facts, and distortion. Again this

is due to the background and attitudes of the persons who handle the message. Each person handling the message selects out all that is important from his point of view.

Let's try a little experiment of our own. I'm going to give a message to ____ here on my right and he is to repeat it to the person on his right and so forth, until everyone has heard and passed the message along. The last person will tell us aloud what the message was.

"Through empathy we develop a habit of seeing the other person's point of view."

But what about the factual content of the message itself. I have just said that we have a tendency to select, to add, and to distort. How do we do that? Well, one of the most common ways is through inference...or the process of going beyond the facts that are seen or heard to form opinions which are, in reality, either conclusions or value judgments.

The problem is that the average person isn't consciously aware when he leaves the realm of facts and begins accepting inferences with the same certainty as if the inferences were facts.

Let's have a quick demonstration.

PRINTOUT P2

Please read over the paragraph about the Adams Manufacturing Company and then indicate whether the following statements are fact or inference.

ALLOW ABOUT 5 MINUTES FOR MARKING

Then go through the list verbally and let the class respond, indicating which is which.

CHARGED WORDS

Of course there are some words which do generally cause some sort of a reaction--and we use them with this intention--most of the time.

PRINTOUT P3

Take a look at this printout and mark your responses.

/These may be tabulated on the board if desirable./

FLIPCHART

HOW MANY OF YOU HAVE EVER SEEN THIS BEFORE?

"I know that you believe you
understand what you think I
said, but --
I am not sure you realize
that what you heard is not
what I meant."

COMMENTS?

For a final rule of thumb, these thoughts should be kept in mind:

FLIPCHART
CONCLUDE

- Communications should be specific and simple.
- A good rule is "one message, one subject."
- Timing is vital--right thing at the right time.
- Strive for a climate of confidence in which communication can take place.

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COMMUNICATIONS BARRIERS

ALTERNATIVE B

SIMPLE MEANING

Very simply put, communications is the mutual exchange of information and ideas.

SIMPLE PROCESS

Likewise, the process is relatively simple:

SENDER → MESSAGE
← RECEIVER ←

DISTORTION

Although the idea and process of communicating are simple, problems can occur in any one of the aspects of the process to cause DISTORTION and, therefore, poor communications.

Indeed, managers and subordinates alike speak about communications breakdown and poor communications.

But before we examine the barriers and inhibitors to the process of communications, let's explore the following:

(PLACE THE FOLLOWING QUESTIONS ON CHALKBOARD, FLIPCHART, OR ETC.)

CHALKBOARD

ARE THERE ANY MERITS TO NOT HAVING GOOD COMMUNICATIONS?

DISCUSSION QUESTIONS

ARE OPEN COMMUNICATIONS ALWAYS GOOD COMMUNICATIONS? CAN WE BE TOO OPEN?

ARE THERE ANY THREATS TO OPEN COMMUNICATIONS?

WHAT KIND OF COMMUNICATIONS DO YOU THINK MANAGEMENT WANTS?

SUGGESTED RESPONSES

Ideas to look for in response to the questions:

OUR OWN IDEAS CHALLENGED

--If we really communicate and listen, we may have our own ideas challenged, possibly to the extent of requiring real reexamination of our own thoughts and positions--and possible change.

CONFUSION DISTORTION

--Confusion, chaos, and distortion allow for a certain freedom of action and "buying time."

EGO THREAT

--We might have to deal with more people who have the same or more knowledge than we do. (Very ego-involving).

IGNORANCE IS NO LONGER BLISS

--We may become more accountable to others. (Ignorance is no longer bliss).

NO MORE EXCUSES OF "POOR COMMUNICATIONS" OR "COMMUNICATIONS BREAKDOWN"

--We won't have the "inadequate" or "poor" communications excuse to fall back on.

HOW MUCH DO WE "TRUST"?

--Challenges our "trust" ability.

WHAT IS GOOD COMMUNICATIONS?

This should make us reflect on what we really mean by good communications.

LET'S TRY FOR "IMPROVED" COMMUNICATIONS

Perhaps what we want is some kind of improved communications over what we have.

Let's assume, however, that we do want better communications.

INHIBITORS

WHAT ARE THE INHIBITORS THAT GET IN THE WAY OF BETTER COMMUNICATIONS?

BREAK UP INTO GROUPS OF 3-4.

LIST COMMUNICATIONS BARRIERS

In your group make a list of what you have seen or experienced yourself as communications barriers. You may focus on your work situation. Try to be as specific as you can.

DISCUSS IN GROUPS FOR 15 MINUTES

FEEDBACK	Ask for feedback from the groups.
DISCUSS FEEDBACK	Discuss the feedback in light of the following barriers:
COMMUNICATIONS BARRIERS	<u>BARRIERS</u> --words mean different things. --symbolic meanings, words/gestures. --making assumptions. --poor listening. --different perceptions. --distortion through many intermediate levels. --evaluation of the informational source. --selective perception (tunnel vision). --educational, economic, cultural backgrounds. --charged words.
INSTRUCTOR'S NOTE ——→	You might want to place the <u>barriers</u> on a flipchart which can be placed later on a wall, etc., for reference during the week. The flipchart list can serve as a summary list for communications improvement.
CHARGED WORDS	One of the barriers mentioned was charged words. Let's look more specifically at this barrier.
PRINTOUT P3	Turn to Printout P3 and record your reactions to the listed words.
PRINTOUT FACT VS. INFERENCE	<u>Making assumptions</u> is also another barrier that can get in the way of clear communications. We often confuse <u>fact</u> with <u>inference</u>. (Inference--the process of going beyond the facts that are seen or heard and forming opinions which are in reality either conclusions or value judgments.) PRINTOUT P2 .
INSTRUCTOR'S NOTE ——→	END HERE BEFORE EFFECTIVE LISTENING SESSION OR
CONCLUSION	CONCLUDE WITH: I know you believe you understand what you think I said, but I am not sure you realize that what you heard is not what I meant.

Ever wonder if the above statement all too often reflects how we communicate?

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EFFECTIVE LISTENING

LISTENING SKILL

A skill we all need to improve and be very aware of is that of LISTENING.

Listening consumes most of our communications time.

An average business person's working day involves time spent in the following percentages:

45% listening
32% speaking
14% reading
9% writing

(Statistics taken from a printout in the Communications and Office Skills Training Center's course "Effective Briefing Techniques.")

Interestingly enough, listening occupies a very large part of our communications skills, and all too often it's the skill we perform least well.

LISTENING EXERCISES

Let's deal with our own listening abilities by working with two exercises.

The remainder of this session is conducted using two listening exercises from Sterling Institute, "The War of the Worlds" exercise and the "Marshall-Dunne Controversy" exercise.

Detailed instructions are included in the exercise materials.

Information regarding these exercises may be obtained from: Sterling Institute, 2600 Virginia Ave. N.W., Washington, D. C. 20037. War of the Worlds Exercise: $50.00, includes LP record,

instructor's notes, test questions and answer sheets for 25 participants. Additional question sheets and answer sheets may be ordered in quantities for 25 participants for $5.00. Marshall-Dunne Controversy: $75.00, includes tape and materials for 25 participants. Additional scripts, test questions, and instructions for 25 participants may be ordered for $10.00.

INSTRUCTOR'S NOTE ——> We have had success using these two exercises in GMTC'S offerings of the course.

However, the instructor may substitute any other listening exercise during this session of the course which would appropriately carry out the same purposes as the two mentioned from Sterling Institute (e.g., Xerox, Addison-Wesley, etc.). "The War of the Worlds" concentrates on general listening problems while "The Marshall-Dunne Controversy" focuses on the "tunnel vision" concept or selective perception in listening.

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BRIEFING TECHNIQUES

INSTRUCTOR'S NOTE:

This session on briefing is divided into three parts. It should generally be conducted as a three-hour session. The first half-hour to forty minutes is an informational lecture involving general points about briefing and briefing techniques. The next hour to one hour and 10 minutes is spent by the participants in a workshop preparing a briefing. The remainder of the time is spent in listening, taping, and replay (if used), and critiquing the briefings. The instructor should make up flipcharts as necessary.

LECTURE (30-45 min.)

COMMUNICATIONS: A MUTUAL EXCHANGE	You probably remember from our barriers to communications session that we defined communications very simply as: "the mutual exchange of information and ideas."
	That mutual exchange may be either WRITTEN or ORAL.
ORAL BRIEFING	For the purposes of the session in this course we will deal with ORAL briefings.
FLIPCHART	The elements of oral communications are: LISTENING SPEAKING THINKING
"TORTOISE-HARE" FACTOR	You might remember that in speaking there is a "tortoise-hare" factor: SPEECH SPEED: Average 100-150 wds./min. THINKING/LISTENING SPEED: Average 475 wds./min.

SUCCESSFUL COMMUNICATION	How do we know when we have communicated successfully?
	When we get our audience to: --listen <u>and</u> understand. --<u>REACT</u> to what we say as we want them to.
WHAT IS AN ORAL BRIEFING?	What is meant by an oral briefing?
	Very simply--an oral presentation with established time limits.
PUBLIC SPEAKING, CONFERENCE LEADERSHIP	Before we focus our attention on briefing, let's consider the <u>differences</u> among briefing, public speaking, and conference leadership.
PRINTOUT P4	Turn to PRINTOUT P4 .
	DISCUSS.
	Now let's focus on briefing. Before preparing the briefing itself, there are several areas we need information about.
PRINTOUT P5	Turn to PRINTOUT P5 , Briefing Preparation Checklist.
WRITING THE BRIEFING	Now that we know what to learn about the briefing situation, let's look at writing the briefing.
	First: develop the <u>body</u> of the briefing. Then: the introduction and conclusion.
ORGANIZING THE BODY	There are 5 approaches to organizing the <u>body</u> of a briefing.
	Suit the approach to the briefing <u>subject</u> and <u>purpose</u>.
	1. cause-to-effect or effect-to-cause order 2. classification or topical order 3. problem solution order 4. time or chronological order 5. space or geographical order

SUPPORTING IDEAS

Your briefing message ideas may be supported by:
- --examples
- --definitions
- --comparisons/contrasts
- --specific instances or illustrations
- --facts and figures
- --quotations

JOKES?

How about jokes?
If related to briefing topic and if natural to the briefer's style.

GENERAL DELIVERY POINTERS

Pointers for the delivery of the briefing:
- --know your subject
- --try to gain attention with your opening statement
- --speak naturally
- --don't apologize
- --don't read
- --don't "talk down" to listeners
- --change your pace (example: voice level).

Q & A'S

What about Question and Answer periods?
Where should they be placed?

Just prior to the conclusion of the briefing, not after you've finished. This way the briefer maintains control and leaves open the option of summarizing last, beneficial since people remember best what they heard last.

We've made many points about briefing; now let's do some briefing.

BRIEFING WORKSHOP

GROUPS OF 3-5

Place participants in groups of 3-5 depending on the number of participants in class.

5 BRIEFING SITUATIONS

There will be 5 briefing situations: to inform, to instruct, to motivate, and to persuade.
(VIDEO TAPE SHOULD BE USED IF POSSIBLE TO RECORD EACH 5-MIN. BRIEFING)

TEAM LEADER AND BRIEFER	Each group will appoint a team leader and a briefer.
PRINTOUT P6	Distribute to each group one copy of PRINTOUT P6, Instructions to the Team Leader.
PRINTOUTS P7, P8, P9, P10, P11	Each group then receives one of the four situations to work with as a group, distribute PRINTOUTS P7, P8, P9, P10 and P11.

NOTE: EXCEPT FOR THE SITUATION INVOLVING THE HATCH ACT, THE SITUATION MATERIAL IS FICTITIOUS.

GROUP ACTIVITY: APPROX. 1 HOUR	Each group discusses its own briefing situation. Allow approximately one hour for the preparation of the briefing. (You might also incorporate coffee break time at this point.)
PRINTOUT P11 A	Just prior to the briefing, distribute Printout P11A, Evaluation Sheet. (You should have enough evaluation sheets so that each person in every group can fill out a sheet for each briefer.)
	Present briefings. Each team leader and briefer will speak to the entire class, NOT just their individual groups.
BRIEFING PRESENTATIONS	IF VIDEOTAPE IS USED, PLAYBACK THE BRIEFING IMMEDIATELY AFTER THE BRIEFER IS COMPLETED.
COMPLETE EVALUATION SHEETS	After the briefing (and videotape playback, if done), each participant should complete an evaluation form for the briefer.
ORAL CRITIQUES	Oral critiquing then follows for about 15 minutes (unless your time schedule can permit more time).
CONCLUSION	Conclude by mentioning any briefing techniques courses available in your area.

NOTE: PRINTOUTS P12, Interviewing Techniques, and P13, Conference Leadership, should be referred to for reading in class at a later time or, if the instructor chooses, as a class session.

UNITED STATES CIVIL SERVICE COMMISSION
INTERAGENCY TRAINING PROGRAM

SESSION III

PROBLEM ANALYSIS

PREVIEW

This session is essentially the same as that in the old Manual. The Kepner-Tregoe approach to problem analysis is presented through a brief introductory lecture.

Emphasis is placed on the importance of a logical, systematic approach to problem analysis and on the essential distinction between the functions of problem analysis and decisionmaking. Following the lecture, the participants work with the problem situation described in the Harvard Business Review reprint "Can You Analyze This Problem?" which is assigned for reading the day before it is dealt with in class. The objective of the problem workshop is to apply the Kepner-Tregoe approach to analyzing the problem. "How to Analyze This Problem" is distributed for the participants' use and further understanding of the problem analysis approach. The session is concluded by a discussion and workshop applying the same principles to potential problem analysis.

The instructor should be concerned with the communications aspects (discussed during Session II) of what occurs during this session. Be sure to point out examples of barriers to communications and reinforce participants' attempts at better communications.

A source for this session that will provide more depth and illustrative examples is "The Rational Manager, A Systematic Approach to Problem Solving and Decision-Making," by Charles H. Kepner and Benjamin B. Tregoe, (McGraw-Hill, 1965).

"How to Simplify a Problem" is no longer included in this session.

UNITED STATES CIVIL SERVICE COMMISSION
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SESSION III

PROBLEM ANALYSIS

A process during which communications barriers may be particularly evident and very necessary to overcome is problem analysis. People can't always communicate successfully what is wrong, let alone achieve agreement with others about what the problem is and what the solution might be. All of us have problems--big and small, simple and complex, nagging and intermittent. There are many prescriptions for solving them, but none so important as experience itself.

THE GOAL IS TO APPROACH PROBLEM ANALYSIS MORE SYSTEMATICALLY

Before we turn you loose on the problem, I'd like to make a few suggestions about technique. These suggestions are not particularly new, certainly not revolutionary. And they will apply to any problem, although unless you consciously use them for awhile they won't work for you. That is, most of us don't learn how to solve problems consciously or systematically. We learn by bits and pieces, mostly by guessing. But we take no course in problem solving nor do we give it any special attention in school, as we do with reading or arithmetic or spelling. Our goal today then is to approach problem analysis a little more systematically.

WHAT IS A PROBLEM?

A STANDARD OR NORM IS REQUIRED

Let's define a <u>problem</u> as a <u>deviation from some norm</u>. Unless something is off course and someone is interested in correcting it, we have no problem. Second, we must be able to identify a norm or a defined performance standard--such as production rate, time elapsed in answering correspondence, or number of letters typed per hour. If we drop below that production rate or answer correspondence after a deadline, we have a problem (deviation) requiring correction. The same is true of behavior--most of us abide by a general set of behavioral patterns in the

office or shop. A severe deviation usually requires some action.

PROBLEMS ARE CAUSED BY CHANGES

Next, a problem is always caused by a change. If everything in a given situation is behaving as it should, then we will have no problems. The only way something gets off course is if some fact about the situation changes.

LOOK AT ONE PROBLEM AT A TIME

SOLVE ACCORDING TO PRIORITY (DETERMINE MAIN CAUSE); SOLVING THE MOST IMPORTANT PROBLEM MAY TAKE CARE OF OTHERS

Now, as we begin to look at our problem, we must be sure that in fact we are looking at a problem. That is, no one can solve a "mess"; rather we must work on specific individual problems. If there are several "deviations" or problems, then we must begin by selecting one to work on. Naturally our selection ought to be based on a problem that deserves priority because of its importance, the speed with which it must be solved, its capacity to create other problems, etc. If we pick the most important problem, we may discover that solving it takes care of several others.

IDENTIFY THE PROBLEM

Technique: Begin by asking questions about the problem. It is natural to approach a problem by saying, "We have this problem; now what should we do about it?" Unfortunately it is also absolutely wrong to say that. We can't begin to conceive intelligent action in response to a problem without knowing the cause.

THE LOGICAL APPROACH

But neither should we say, "Okay, that's our problem. Now what's causing it?" Usually that short-circuits our logical processes. Instead of proceeding carefully toward a probable cause, we begin the hit-or-miss process of guessing at causes. Our proper approach would be to find out

--what the problem is
--where it is
--when it is
--how much or how big it is

IMPORTANT TO KNOW WHAT IS NOT PART OF PROBLEM

Equally important is a description of what, where, when, and how much it is not. As you ask these questions and get specific answers, you will begin to eliminate some of the "solutions" or causes you guessed at.

A GOOD DESCRIPTION OF THE PROBLEM IS A BASIC TOOL

If the problem is complex or lengthy to describe, it will help to write down your description. Certainly it will insure having all the pertinent information in front of you for analysis. And your description will be a basic tool for your final step.

TEST POSSIBLE CAUSES

RIGHT CAUSE MUST EXPLAIN EVERY FACET OF THE PROBLEM

Finally, you begin looking for possible causes which fit your description of the problem. Formulate as many causes as you like, and test each against your description. It must explain every facet of what the problem is and what it is not. If it fails on some major score, if it is irreconcilable with some described condition of the problem, throw it away. It isn't the cause.

If it is an incomplete explanation, hold it aside for a moment. You may wish to add to it, expand the possible cause, for retesting against your description. When it fits exactly, when it explains each and every condition of the problem, you have a cause.

LOOK FOR CONTRASTS AND CHANGES

OUR FIRST STATEMENT OF CAUSE MAY BE ACTUALLY A PRIMARY CLUE TO CHANGE

LOOK IN THOSE AREAS WHERE THERE IS A CONTRAST, DIFFERENCE, OR A CHANGE

You may find that your cause is rather out of focus. It may read "something is wrong with the framis coating process." You may in fact have a primary clue to a change rather than a cause. But you do have an area in which to center your questions about what has changed. This condition may, of course, occur as you look at the problem description. You may ask, "Why does the problem exist in Chicago, but not in Philadelphia? What is different about the process in the two cities?" The most fruitful place to ask questions is in those areas where there is a contrast, a difference, or a change.

PRINTOUT P14

PRINTOUT P14, Problem Analysis Chart--I think this chart will be useful in summarizing the K-T approach.

PROBLEMS DON'T OFTEN BROADCAST THEIR PRESENCE

INFORMATION SOURCES ARE VARIED

So much for suggestions as to technique. It will be helpful in solving problems to keep some other things in mind. Very seldom do you first discover a problem because you pick up a document from your "in" box that is neatly labeled PROBLEM. We get information about the existence of a problem, its possible causes from a variety of sources which may not be connected at first glance. Our problem frequently

FREQUENTLY WE HAVE ENOUGH INFORMATION, BUT DON'T USE IT WELL

is not that we don't have enough information, but that we don't use it well. Much of the information that we get needs to be rearranged to be useful. Some of it should be ignored. Some of it should tell us to follow a particular line of inquiry.

PROCEED LOGICALLY FROM PROBLEM RECOGNITION TO ANALYSIS TO PROBABLE CAUSE.

PROCEEDING FROM CAUSE TO PROBLEM STRENGTHENS TENDENCY TO SUPPORT OUR INITIAL CONCLUSION

AT BEST, WASTED TIME; AT WORST, FALSE SENSE OF CONFIDENCE BY GUESSING RIGHT

To repeat some of what we covered earlier, don't try to decide on action until you have looked for and located the most probable cause. Don't look for causes until you have a complete description of the problem--guessing at a cause will probably get you a very quick (and very incomplete) problem description. You will describe only so much of the problem as fits your hypothetical cause. At a minimum, you will waste a lot of time finding out later you were mistaken and beginning all over again. At worst, you will guess right a couple of times and develop an inflated and erroneous idea of your intuitive problem solving skill.

TRY TO SHOOT DOWN LIKELY CAUSES

AVOID TENDENCY TO BUILD A CASE

When you have reached the point in your problem analysis that you think you have a cause, try to eliminate it. That is, try to prove that your possible cause will not fit. The "cause" that cannot be eliminated is a much stronger possibility than one that has not been so critically looked at. When we postulate a cause and try to explain why that is the cause, we build a case for it. We get very attached to "our cause" and our case for it and we may be blinded to some areas that we haven't examined about the "cause." On the other hand, when we examine a cause by comparing it with our problem description and consciously try to eliminate it as a possible cause, we are more likely to examine it thoroughly.

PRINTOUT:
CAN YOU ANALYZE THIS PROBLEM

With these few ideas then, go to work on the problem we passed out last night for 30 minutes in your regular table groups. Then we'll open discussion for the entire group before we have a brief feedback session to evaluate results.

BLANK PROBLEM ANALYSIS CHART

/Note to Instructors: While the participants are working, draw a replica of the blank problem analysis chart on the chalkboard. When the work groups seem to have reached some conclusions, ask each table to select a spokesman to present his group's solution. Do not encourage cross

discussion at this point. Proposed solutions will vary but will probably lean toward a human relations interpretation. The session will be more effective if the groups do not get feedback as to the validity of their solutions./

Now let's give the system a try.
/NOTE TO INSTRUCTOR: Using the chart drawn on the chalkboard, proceed to answer each question through group participation or have one person from a group volunteer to complete the chart and explain his group's thinking./

PRINTOUT

AFTER THIS DISCUSSION, DISTRIBUTE "HOW TO ANALYZE THAT PROBLEM." ALLOW 20-30 MINS. TO READ.

SEVEN-POINT SUMMARY

Before leaving this topic, let me summarize in seven points the factors that should be considered if one intends to use this problem analysis technique:

PRINTOUT P15
PROBLEM ANALYSIS
SUMMARY

1. The problem analyzer has an expected standard of performance--a "should" against which to compare actual performance.

2. A problem is a deviation from a standard of performance.

3. A deviation from a standard must be precisely identified, located, and described.

4. There is always something distinguishing that which has been affected by the cause from that which has not.

5. The cause of a problem is always a change that has taken place through some distinctive feature, mechanism, or condition to produce a new, unwanted effect.

6. The possible causes of a deviation are deduced from the relevant changes found in analyzing the problem.

7. The most likely cause of a deviation is one that exactly explains all the facts in the specification of the problem.

POTENTIAL PROBLEM ANALYSIS

MANAGERS USUALLY CONCERNED WITH TODAY'S PROBLEMS

One major obstacle to the systematic analysis of potential problems is that managers in general are far more concerned about correcting today's problems than with preventing or minimizing tomorrow's. This is hardly surprising since the major rewards usually go to those who are most successful at resolving current problems in management. Raises and promotions are rarely if ever bestowed on men for things that never happened.

DIFFICULT FOR US TO QUESTION OUR OWN PLANS BY ASKING "WHAT COULD GO WRONG?"

Another obstacle is the common conviction of managers that any plan of theirs is eminently workable or they wouldn't have suggested it in the first place. They find it very difficult to ask, "What could go wrong?"

TENDENCY TO THINK WE UNDERSTAND ALL IMPLICATIONS OF PROPOSED STEP

Still another obstacle to the analysis of potential problems is the tendency of people to think that they fully understand all the implications of some step. Having agreed on the plan's intent, they see no reason to probe further into it. Then, when the plan goes into operation, they see for the first time that it can produce effects they did not specifically agree to. But by that time the opportunity for prevention has passed and a problem to be solved has arrived.

IN POTENTIAL PROBLEM ANALYSIS--PROBLEMS AND CAUSES ARE ONLY POSSIBILITIES

IN POTENTIAL PROBLEM ANALYSIS THE MANAGER SHOULD ASK THE FOLLOWING QUESTIONS:

In potential problem analysis both the problem and its causes are only possibilities, and the manager must decide which actions are going to keep these possible causes from occurring. Any one of these potential problems, produced by any possible cause, might wreck or jeopardize the action the manager has decided to take. Therefore, he has to consider them all, and he has to have some orderly way of doing this. He can do so by systematically asking and getting the answers to seven questions, following the sequence outlined below:

1. WHAT COULD GO WRONG?

1. <u>What could go wrong</u>? A plan of action is really a series of "shoulds," performance points at which certain things are supposed to happen. So the manager must go over his plan and think of all the problems that might crop up. He can find plenty of these potential problems if

SIX SOURCES OF POTENTIAL PROBLEMS

he looks carefully at those elements where trouble so often starts. Here are six sources of potential problems:
- --where something new, complex, or unfamiliar is tried;
- --when deadlines are tight;
- --when a sequence is critical or has impact on others;
- --when an alternative is missing;
- --when things involve more than one person, function, or department;
- --where responsibility is hard to assign, or is outside the manager's area.

2. WHAT, SPECIFICALLY, IS EACH PROBLEM?

2. <u>What, specifically, is each problem</u>? The next step is an accurate description of each potential problem to tell the manager what it is, where it might occur, when, and in what degree.

3. HOW RISKY IS EACH PROBLEM?

3. <u>How risky is each problem</u>? A manager cannot expect to cope with every one of the potential problems he finds; he has to cull out the small risks and concentrate on those that are more threatening to his plan. So he sets priority on potential problems according to two criteria: How serious will it be if it happens? How probable is it that it might happen?

4. WHAT ARE THE POSSIBLE CAUSES OF EACH PROBLEM?

4. <u>What are the possible causes of each problem</u>? Many of these possible causes will never arise, but he has no way of knowing this since he is dealing with possibilities only.

5. HOW PROBABLE IS EACH POSSIBLE CAUSE?

5. <u>How probable is each possible cause?</u> Here again the manager relies on his judgment and experience to assess the probability that a particular cause will occur. He will usually find many different possible causes for each possible problem, and he can then rate each of these causes as to its probability.

6. HOW CAN A POSSIBLE CAUSE BE PREVENTED OR ITS EFFECTS MINIMIZED?

6. <u>How can a possible cause be prevented or its effects minimized</u>? The best action a manager can take will either remove the possible cause completely,

or reduce the probability that it will occur.

7. HOW CAN THE MOST SERIOUS POTENTIAL PROBLEMS BE HANDLED?

7. How can the most serious potential problem be handled? Whenever a manager thinks a potential problem is so serious that he cannot rely on preventive actions to remove the cause or significantly reduce its probability, he should prepare contingency actions to be adopted immediately if the problem does occur.

CONTINGENCY ACTIONS: HIGH STAKES GREAT RISK

Contingency actions are called for where the stakes are very high and where there is great risk that a failure at one point in a plan will cause the whole operation to go down the drain.

For contingency actions, the manager must establish early warning mileposts that will alert him to the fact that now he has a problem, and that from this point on he will be coping with its effects. Such information mileposts can be set up so as to trigger the contingency action planned.

WORKSHOP PRINTOUT P16

We have a workshop that will illustrate the concept of potential problem analysis. Please work on this in groups for 15 or 20 minutes. We will then discuss the results.

SOME PROBLEMS STILL WILL NOT BE FORESEEN

INTERIM ACTION ALLEVIATES SITUATION AND BRIDGES GAP

MAY NOT BE PRACTICAL LONG-TERM SOLUTION

Although thorough analysis is a praiseworthy objective, we must be realistic. There will be situations which could not be foreseen and which are of such a critical nature that there is no time for complete analysis before action is taken. This is the interim action. It serves to alleviate the adverse effects of an unforeseen problem and bridge the gap to a final solution. The interim action involves a calculated risk, and the solution implied by the interim action may or may not be identical with the solution arrived at as a result of thorough problem analysis. For example, shutting down the lines responsible for excessive rejects due to bad burring would be an interim action to eliminate the undesirable change, but would not be feasible as an ultimate solution.

SYSTEMATIC FORETHOUGHT RATHER THAN SYSTEMATIC AFTERTHOUGHT

Basically, then, the systematic analysis of potential problems is the process of applying systematic forethought to the achievement of objectives. Without such forethought, managers are confined to the processes of systematic afterthought, which is what the analysis of existing problem involves.

UNITED STATES CIVIL SERVICE COMMISSION
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SESSION IV

DECISIONMAKING

PREVIEW

The introductory material for this session is essentially that of the old manual using the Kepner-Tregoe approach to decisionmaking, with the "essential and desirable" elements concept. The home-buying example using this approach has been retained, but individual items have been changed. The forced choice priority ranking concept is used in determining the weighting factor in the example, rather than the 1 to 10 scale. The 1 to 10 scale is still used, however, in assigning a score to each desirable item.

The main focus of the session is the management game, "Leading Groups to Better Decisions," which has proved to be a valuable addition to the course each time it has been used by GMTC.

Emphasis is placed on participative decisionmaking. The subject matter of the game deals with problems confronting a conference leader, which ties in with the course theme of communications. The game requires 3-3½ hours to administer if all the questions are used. However, some of the questions can be eliminated to cut the game time to about 2½ hours, without affecting the purpose of the game or the overall scoring. The items you might want to eliminate are 3a, 3b, 3c, 7, and 8 from the worksheet on page 5 of the participant workbook.

Information about the game may be obtained from:

Didactic Systems, Inc.
6 N. Union Ave.
Cranford, N.J. 07016
(A.C. 201) 272-5004

If a management game is used, the manual material on quality and acceptance of decisions and participative decisionmaking may <u>not</u> be used, based on time available and participant need.

Any other appropriate management game involving decisionmaking may be substituted by the instructor.

If no management game is used, the instructor might cover the manual material on the quality and acceptance aspects of decisions via a lecture discussion. Following this, the material on participative management from

the old Manual in the Norman Maier article, "A Realistic Look at Participative Decisionmaking", may be used as a handout for discussion. Participants can then break up into small groups and discuss the kinds of decisions in the work situation which can be made using the participative approach.

UNITED STATES CIVIL SERVICE COMMISSION
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SESSION IV

DECISIONMAKING

DECISIONMAKING

Closely related to problem analysis is the matter of decisionmaking. Whenever a decision has to be made, good communications is mandatory. How well the alternative actions from which a decision is to be made are understood and communicated will affect the quality and acceptance of the decision.

DECISIONMAKING IS A CONSTANT ACTIVITY

Whether you have finished a problem analysis to arrive at a proved cause or are faced with an initiating action or a stop-gap emergency action, every day you will make decisions. You may make them well or poorly, consciously or unconsciously, but you will make them. Now much of this is routine and untroublesome, e.g., should I go to bed before or after "the late news," or should I have that piece of pie or stick to my diet. Some, and these are the ones we're concerned with, are more important and need careful thought and attention.

YOU WILL BE JUDGED BY THE QUALITY OF YOUR DECISIONS

HOW DO WE IDENTIFY A GOOD DECISION?

NO PAT ANSWERS BUT HERE ARE SOME GUIDES

No one questions the fact that management decisions are important. Indeed, few things will have a greater impact on your success or the success of your organization than the quality of decisions made. Much of the time spent putting out fires is the result of some bad decision. But the question then becomes--how do you identify a good or bad decision? how does one make a good decision? There is no substitute for careful thought and good judgment. But there are some concepts that will make the job easier and more logical.

KNOW WHERE YOU'RE GOING

First, we should know what we are trying to accomplish with a decision. What results do we want to obtain? What condition do we want to eliminate? What problem are we solving by this decision? There is no point in generating alternatives until we have clearly in mind what we

intend to accomplish when we choose one of them. Indeed, it is not possible to make a reasoned, logical decision without a clear statement of objectives. Until we get these objectives established, then a good decision will be only an accident.

MAKE THE OBJECTIVES SPECIFIC, AND MEASURABLE

Then, if we are to establish objectives which set out what we intend to accomplish with this decision, they must be capable of being used to measure alternatives. So the objectives begin to come more clearly into focus--they must be specific and able to be measured, where possible. Normally, there will be some objectives that clearly must be accomplished--conditions that are necessary to bring about as a consequence of the decision. There will be others that are desirable outcomes, but not necessary. The latter can be weighted in order to make comparing alternatives more precise.

ESSENTIALS
DESIRABLES

WEIGHT DESIRABLES; COMPARE ALTERNATIVES TO OBJECTIVES

Let me stress the importance of writing down those objectives even for the small decisions. It helps to keep before you pertinent information about the decision. It insures that you will measure alternatives, not against each other, but against objectives. And when you try to keep relative weights in your head, you begin to behave like a computer instead of a human being.

Now you begin to actually develop alternatives. It is important to develop more than one and perhaps to develop a great many. Certainly the more alternatives you generate, the wider range of possible combinations to gain more of your objectives you will have.

Having set up our objectives and <u>written them down</u>, we can begin to measure alternatives.

PRINTOUT P17
ESSENTIALS--DESIRABLES

ESSENTIALS FURNISH GO/NO GO DECISION

ESSENTIALS ARE FIRM, UNYIELDING, SAVE TIME, GUARANTEE MINIMUM REQUIREMENTS; THEY MUST BE CAREFULLY THOUGHT OUT

Let's look at an example of this decisionmaking process. You will notice listings of essentials and desirables. The essentials are just that. No alternative can be considered any farther if it fails on any one of these. All possible alternatives must first pass this set of tests. Right away you can see this does two things--(1) it keeps you from wasting your time and thought on a possibility that does not even accomplish your basic objectives and (2) it guarantees that any decision you make will, at a minimum, gain you what you have thoughtfully defined as essential objectives.

As you go through this decisionmaking process, you will see the importance of including only essential items here and of being sure you classify all the objectives you cannot get along without as essential. The remainder of our objectives then, the desirables, are less important. No one of them is so important that its absence will disqualify an alternative. Naturally we do want to get as much as we can from our decision. But not all the desirables are equally important. We may value air-conditioning much higher than a fenced yard or a garage or fuel oil heat. If so, we want to be sure we give these factors consideration according to their relative importance. So we must decide which of these are more important and assign them weights.

DESIRABLES ARE OF VARYING IMPORTANCE

WEIGHT DESIRABLES QUANTITATIVELY

FORCED CHOICE RANKING APPROACH

The method shown in our example uses the forced choice priority ranking approach. The buyer has identified 12 desirables he would like to have. These desirables then have to be ranked in the order of importance to the buyer. The approach involves the following thinking: "Of the 12 desirables you have identified, if you could only have one, which would it be? Assign that choice a weight of 12. Next, of the remaining 11, if you could only have one, which one would you select? Assign that a weight of 11. And so on through the list until you get to the last item weighted with a 1."

The buyer must give careful thought to the weighting of choices and must force choice the items. Even if the buyer says 3 of the items should be weighted 12, further deliberation must be done to make a distinction. If the buyer really can't make distinctions, then perhaps some of the desirables should be placed in the essential list.

Another similar approach is the "look at all I get with this one" attitude. For instance, "Well it isn't close to schools and it has electric heat, but I get a dishwasher, a garage, and air-conditioning." This is particularly dangerous when it's the middle of August and you are living in a hot, cramped apartment. Again, the weights are no more valuable than the care with which they are assigned, but they will prevent you from making a haphazard or illogical decision here, too.

Staying with our example, you might find alternatives (or houses) advertised in the paper, being currently constructed, available from signs you see posted in the neighborhood, or have them offered to you by a real estate agent. Whatever the source, each house should immediately be measured against your essentials. Only if it meets all of those do you go on.

So, if you set up $35,000 as an essential, and the real estate man offers you a home over $35,000 you turn it down. No matter how attractive the financing or the features--it means that anything over that is out of consideration. If the house has two bedrooms and "a porch you can enclose," you turn it down. Before you do anything else, you get specific answers to questions about each of your essentials.

PRINTOUT P18
QUANTITATIVE
ANALYSIS CHART

This chart will make it easier to compare alternatives. For instance, you see on the printout that the house that was Alternative A is quickly eliminated because it has 2 stories and only 2 bedrooms. As you move down through the desirables for the two remaining possiblities, a score of ten is assigned to the best choice on each desirable and a score proportionately less on the other alternative. So that Alternative B gets a score of ten on the suburban, residential neighborhood, Alternative C gets a five since it is on a high traffic street. Here you score the desirables in terms of your judgment as to how closely they gain your objective. Since the score on some desirables is more important than on others, we multiply the weight for each factor times the score for that factor to produce a weighted score. The total of the weighted scores then will tell us tentatively what is, on balance, our best decision.

SCORE EACH ALTERNATIVE ON EACH DESIRABLE

OBTAIN WEIGHTED SCORES

FINAL PHASE

SEARCH FOR AND EVALUATE ADVERSE CONSEQUENCES (AIR-CONDITIONING REPAIRS, REZONING, BASEMENT FLOODING)

There is one final phase of the process we should give some attention to before we make a firm decision. We should look for and assess the possible adverse consequences of the tentative decision as compared to the next closest alternative. We might consider such things as imminent costly repairs to the air-conditioning, costly outside maintenance, possible basement flooding due to the location of the homes, condition of the neighborhood, possible zoning for industrial or high-rise apartment use, etc. Whatever we see

	as an adverse consequence of the alternatives can be assigned a weight to reflect its seriousness and a score reflecting probability. Thus, if a flooding basement is given a seriousness weight of ten with a probability score of .50, it yields a weighted score of five. This would make it a greater decision deterrent than air-conditioning repairs with a seriousness weight of two, a probability of .10, with a weighted score of .2. As you can see, the process is much the same as evaluating alternatives, except that a high total weighted score is bad this time.

FLOODING
SERIOUSNESS--10
PROBABILITY--.50
5

AIR-CONDITIONING REPAIRS
SERIOUSNESS--2
PROBABILITY--.10
.2

In some cases, the choice between tentative decisions may be close enough and the adverse consequences attached to one so great that we actually choose the second most desirable tentative decision.

Now we have used an illustration relating to home buying for the sake of its simplicity and because it is meaningful to most people. You can make your own translation to uses in your work situation. Don't limit your application to those cases when you feel a need for the entire process. Any decision requires objectives and it will usually help to write them down. Most decisions will have essential objectives and desirables. All decisions ought to be a choice between alternatives based on measuring those alternatives against objectives.

INSTRUCTOR'S NOTE ——→ You might conclude this section of the session by generating some thinking about where in the work situation the concept of essentials and desirables is used, e.g., performance ratings, merit promotion vacancy requirements, selection of contractors, consultants, etc.

MANAGEMENT GAME

Let's turn our attention now to the management game, "Leading Groups to Better Decisions."

ADMINISTER THE GAME

When the game is finished, proceed with--

SAY

There are a few more things about decisionmaking which we should consider before we leave this topic altogether.

Once a decision has been reached through a systematic approach, the manager is confronted with additional dimensions of his decision. The relevant factors in appraising a decision's potential effectiveness are its objective or impersonal quality and its acceptance, or the way the persons who execute the decision feel about it. Of course, we have been doing some of this through our discussions over alternatives in the "game."

Traditional methods have emphasized reaching a quality decision through the traditional approach--get the facts, weigh, consider, decide. But this approach has not been very effective in many cases. Even reaching an "equitable" decision may not be enough.

IF THIS ALWAYS WORKED

History has shown that people are not always willing to accept an equitable decision.

LACK OF DIFFERENTIATION MAY CONFUSE FEEDBACK

The feedback a decisionmaker receives concerning a particular decision may be misleading, too. Top management may reply "good decision" because it will significantly improve efficiency. A subordinate may say "good decision" meaning he will be able to sell it to his people.

EVALUATION OF RELATIVE IMPORTANCE IS A PERENNIAL PROBLEM--GUIDELINES

IF QUALITY IS CONSTANT EFFECTIVENESS WILL RELY ON ACCEPTANCE EXAMPLE: SUPERVISOR SELECTING OVERTIME WORKERS

Evaluating the relative importance of quality and acceptance in any given decision will always be a problem, but there are some helpful guidelines. Assuming quality remains constant among several alternatives, decision effectiveness will rely on acceptance. Let's say a supervisor must select three of five equally qualified workers for Sunday work on a rush project--none of whom have volunteered. The quality objective will probably be achieved regardless of whom he chooses, but the adverse consequences to the continued smooth operation of his shop may vary widely according to the degree his workers accept his selection.

SECOND BEST ALTERNATIVE MAY BE MOST EFFECTIVE

At times, the second best alternative from a quality standpoint may be the most effective. If quality considerations rank the alternatives A, B, C, D, while acceptance ranks them D, C, B, A, "B" may well be the most effective alternative.

A B C D
D C B A

The formula for an effective decision (ED) may be stated: ED = Q (quality) + A (acceptance).

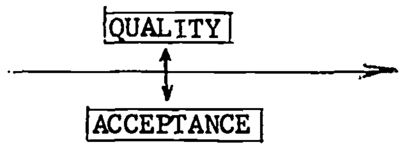
INHERENT CONFLICT: QUALITY REQUIRES WISDOM, THE PRODUCT OF INTELLIGENCE AND KNOWLEDGE; ACCEPTANCE REQUIRES SATISFACTION, THE PRODUCT OF PARTICIPATION AND INVOLVEMENT IN DECISIONMAKING

There is an inherent problem in achieving an effective decision. Since quality decisions require wisdom which is the product of intelligence and knowledge, while decisions of high acceptance require satisfaction which is the product of participation and involvement in decisionmaking, the two concepts are not consistently compatible.

AIMING AT BOTH MAY GET NEITHER

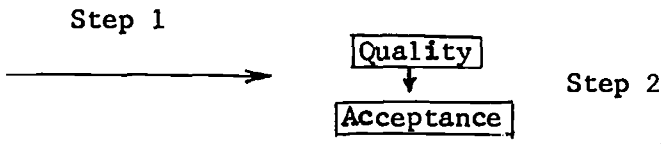
Aiming at both objectives simultaneously may achieve neither.

Quality and Acceptance of Decisions



TRADITIONAL LEADERSHIP APPROACH: QUALITY FIRST, THEN ACCEPTANCE

The traditional leadership approach has been for the man to make a decision using whatever resources are available to him and once quality has been insured, moving on to acceptance by whatever means the manager deems most productive.



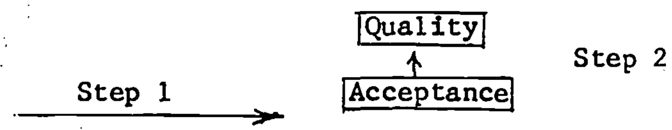
TRADITIONAL METHODS OF GAINING ACCEPTANCE

The traditional methods of gaining acceptance are:

1. Dictatorial method--imposing the decision.
2. Persuasion--selling the merits.
3. Participative approach--discussion by subordinates with final authority in the supervisor.

A DEVIATION FROM TRADITION MAKES ACCEPTANCE THE PRIMARY GOAL

A deviation from the traditional approach is making acceptance the primary goal.



SOME PROBLEMS: RISK TO QUALITY; SUPERVISOR IS RESPONSIBLE FOR DECISION-- HE MAY RETAIN VETO POWER AND POSSIBLY FOSTER "YES MEN"

There are some immediately apparent problems in this approach. There is a risk to the quality ingredient. The supervisor is ultimately responsible to his superior for the decision and he may, therefore, wish to retain a veto power at the risk of fostering "yes men."

SOME DECISIONS ARE EASILY ANALYZED

Some decisions readily lend themselves to a quality-acceptance analysis.

PRICE RISE REQUIRES QUALITY

A decision to raise the price of a product must be made on the basis of hard economic fact. The degree of acceptance by the salesmen is a secondary consideration.

FAIRNESS REQUIRES ACCEPTANCE, SUCH AS ASSIGNING NEW EQUIPMENT

A decision involving fairness--such as assignment of new equipment when there is initially not enough for the entire group--probably has a constant quality factor among several alternatives. As in the Sunday overtime case, acceptance will be the primary determinant of effectiveness.

GROUP DECISION-MAKING APPROACH MAY BE APPROPRIATE

This type of decision may lend itself to group decisionmaking whereby the supervisor abdicates his traditional role and allows and encourages the group to select the most acceptable alternative in keeping with its informal structure.

ACCEPTANCE OF QUALITY-ACCEPTANCE PREMISE INVOLVES ANOTHER STEP IN DECISIONMAKING

If one chooses to accept the quality-acceptance premise, we may well add another and perhaps initial step in decisionmaking--determining the relative importance of each in a final decision.

MOST DECISIONS FIT ONE OF THREE CATEGORIES

In summary, most decisions fall into three basic categories:

(1) High quality-low acceptance--wherein decisions can be made effectively by a leader with the help of experts and acceptance will be considered only after quality is assured;

(2) High acceptance-low quality--wherein the quality factor remains constant and the decision may fail without acceptance; and

THE LARGEST AND MOST DIFFICULT CATEGORY

(3) High acceptance-high quality--this is the largest and most difficult category.

AGAIN, NO "PAT" SOLUTIONS; EXPERIENCE INDICATES QUALITY OF GROUP DECISIONS MAY SURPASS EXPECTATIONS AND PRECONCEPTION OF EMPLOYEE MOTIVATION MAY BE MISLEADING

Once again, there are no "pat" solutions to offer, but experience has indicated that the quality of group decisions may surpass expectations if the leader knows his task. Second, preconception of employee motives may be misleading and preclude productive participation.

Reference: Maier, Norman R.F., Problem Solving Discussions and Conferences, McGraw-Hill Book Company, Inc., New York, 1963.

A REALISTIC LOOK AT PARTICIPATIVE DECISIONMAKING

by Dr. Norman R. F. Maier

Decisions made by management often meet with criticism from those who must accept or implement the decisions. Each person involved in the execution of the decision feels that his interests have not been adequately considered, so all might agree that the boss' decision was unfair. However, one cannot conclude that these same individuals would agree on the decision that should have been made. When the interests of group members (subordinates) are in conflict, all of them cannot be satisfied by any decision imposed from above.

The first step is to resolve the differences in interests through discussion. Decisions that require group acceptance, therefore, should be solved by the persons in conflict, not by an outsider, regardless of how wise he might be.

The success of participative management practices stems primarily from the fact that persons with conflicting interests have the opportunity to express their views and to influence decisions. Together they can explore the alternatives, appraise one another's claims or priorities, and bring the problem into better perspective. In contrast, when an outsider (higher management) makes the decision, little is known of the weight he gave to alternatives and whether he was playing favorites or had ulterior motives.

Examples of decisions that readily lend themselves to group decisions include the following: scheduling vacations; parking regulations; fair distribution of overtime; allocation of a piece of new equipment; desk locations in a new office; establishing priorities in scheduling work; how best to make use of new information; and even goal setting.

When the Leader Must Decide

It goes without saying that decisions often require more than the acceptance of persons who must execute them. Every driver who wants a new truck cannot have one when only one is available; a profit cannot be made if labor costs exceed the sale price of the article; and a machine will break down regardless of how people feel about it. These are the realities that life situations impose. Consideration of these realities is what is meant by a weighing and considering of the facts in the situation. Decisions requiring the utilization of factual information can best be made by persons possessing the relevant knowledge. Thus, with respect to certain decisions, the leader is the most qualified person.

The matter of making effective decisions, therefore, depends upon the nature of the problem. Decisions that have to do with feelings and attitudes profit most from group decisions, whereas decisions that are concerned with objective facts, requiring specialized knowledge, can

best be made by experts. The common error is either to assume that group decisions are superior to leader decisions regardless of the problem, or to assume that people who know the most should make all decisions for others.

The first consideration in decisionmaking is to decide whether the success of the decision will depend primarily upon the support it receives or on how effectively the objective facts are obtained and utilized. This requires skill in diagnosis. In the event that both objectives are needed, either persuasion or discussion-leading skills will be essential. It follows, therefore, that the need for management skills related to decisionmaking cannot be avoided. Skills are acquired through supervised practice. It is for this reason that management training is most effective when it includes simulation and role-playing activities. Such situations offer opportunities to diagnose problem issues and to practice discussion skills.

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SESSION V

FINANCIAL MANAGEMENT

PREVIEW

There is considerable change in this session both in content and format. It is best handled by a resource speaker in financial management unless the instructor has expertise in the subject matter. The session is basically set up as a short lecture followed by a programmed exercise and concluded by a problem involving the concept of present value. The entire session takes 3 hours to conduct. The programmed exercise and problem are included in the printouts. Guidelines are provided for the instructor or resource speaker to use.

The material on cost concepts from the old Manual may continue to be used if considered appropriate by the instructor. That material is not reprinted in this Manual.

Participants may be encouraged to seek out more specific courses in financial management as their individual needs require. Available CSC courses could be mentioned in this regard.

UNITED STATES CIVIL SERVICE COMMISSION
INTERAGENCY TRAINING PROGRAM

SESSION V

FINANCIAL MANAGEMENT

FINANCIAL MANAGEMENT: A NEED FOR GOOD COMMUNICATIONS	An area where communications can be confusing, yet most important, is that of the financial, budgetary responsibilities and the supervisor's understanding of them. The higher up one goes in management the more important becomes the need for understanding and appreciating the financial mechanisms of the agency.
CONGRESSIONAL ACTION AGENCY RESPONSIBILITIES PRESENT VALUE CONCEPT	During this session we'll be looking at the financial management makeup of a government agency, along with looking at the congressional involvement and the agency activities undertaken with government dollars. Finally we'll work with a short problem exercise on the present value concept.

(SPEAKER GUIDELINES FOLLOW)

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SUGGESTED SPEAKER GUIDELINES

I. Lecture (45 mins. to 1 hour).

A. The profit motive as distinguishing financial life in business from that in government.

B. Desirable/profitable concept in business, i.e., if something is desirable and profitable it will be provided by the private sector.

C. That which is desirable but NOT profitable will be provided by the government.

(1) conditions of consumption

a. examples of police protection and national defense.

(2) conditions of production

a. example of highways

(3) other conditions

a. example of environmental protection, natural resource conservation

(All of the examples above are desirable but not profitable and usually very costly for the private sector to provide.)

D. The continuing existence of government through congressional approvals.

(1) explanation and discussion of:

a. appropriations
b. apportionment
c. allotments
d. obligations

E. Purpose of Anti-Deficiency Act.

II. Workshop (1 hour).

A. Programmed exercise (45 mins.)

PRINTOUT P19

B. Discussion of problem areas in programmed exercise.

III. Present Value Problem Exercise.

PRINTOUTS P20, P21, P22, P23

A. Group working of problem.

B. Presentation of solutions.

UNITED STATES CIVIL SERVICE COMMISSION
INTERAGENCY TRAINING PROGRAM

SESSION VI

MANAGEMENT THEORY

PREVIEW

The communications objective of this session is to underscore the need for supervisors to have an intelligent understanding of ideas and people generally known in the management area who frequently appear in management readings on every managerial level. Participant interest should be generated in knowing something more about the literature of management as a body of knowledge.

Alternative A uses a checklist of management ideas and authors which serves as a basis for discussion for this session. There will not be time to cover all of the names on the list and it is NOT the intention of this alternative approach to do so. The participants should be left "wanting more." For that purpose a bibliography and HBR reprint "The Well-Read Manager," provide reference resources to be used at a later date by the participants. The checklist should serve to reflect the rather wide scope of management contributors and ideas. An "answer sheet" is provided as an instructor reference guide. It is by NO MEANS a definitive source to explain each item on the checklist. Its purpose is to give the instructor a short, quick reference guide during the class session. It is recognized that further instructor preparation may be necessary for an adequate understanding of the material. The instructor may well need to prepare more extensively depending on individual knowledge and expertise in the area of managerial theory. If the instructor does not feel comfortable with this approach, perhaps Alternative B, which is in a more lecture controlled format, would be preferable. Alternative B is a reprinting from the old Manual of managerial theory, using basically a lecture approach. If Alternative B is used, the instructor may want to look at the instructor reference guide for Alternative A to include even further management contributions to the presentation.

Both Alternatives A and B include the use of the two part Gellerman film series on Theory X and Y as well as the accompanying participant printouts on the theories retained from the old Manual.

The KITA film or "What Have You Done For Me Lately?" is not used.

UNITED STATES CIVIL SERVICE COMMISSION
INTERAGENCY TRAINING PROGRAM

SESSION VI

MANAGEMENT THEORY

ALTERNATIVE A

MANAGEMENT LITERATURE

Time and time again certain names and ideas appear and reappear in the literature of management as a body of knowledge. As you continue to develop through supervisory experiences and training, you will meet many recurring references which should be familiar to you for your fuller understanding and appreciation of management thinking.

For the next half-hour (to 45 mins.) you will work in your table groups.

INSTRUCTOR'S NOTE

If participants have been in the same table group all week, this would be a good opportunity to change the group members.

NOT EXPECTED TO IDENTIFY EACH ITEM

"INSTRUCT" EACH OTHER

You'll use PRINTOUT P24 , a list of management names and concepts. You are not expected to identify all of the items during class. The objective of this session is for you to share your expertise with each other. In a way, "instruct" each other. You may discuss as many or as few of these as you can. If you like, you may each go through the list individually first and then have a group discussion. In other words, you may frame your own objective for dealing with this material.

As you read this list you may be surprised at how little or how much you know about management theory!

Any Questions?

Begin group activity.

INSTRUCTOR'S NOTE →	The instructor should circulate from group to group to help any group which is having a hard time getting started.
	As time permits, the instructor may want to open the entire class up to general discussion of any of the items of interest to the group.
INSTRUCTOR'S NOTE →	Do not discuss Douglas McGregor and Theory X and Y at this point. (They will be covered later.)
INSTRUCTOR'S NOTE →	If you do not use this approach, refer to the Preview section for the lecture/discussion alternative.
PRINTOUTS P25 AND HBR reprint	Let's look now at PRINTOUT P25 a bibliography and an HBR reprint, "The Well-Read Manager."
REFERENCES	The identification of many of the management thinkers and thoughts you were asked to work with can be found in the references in these two printouts.
DOUGLAS MCGREGOR THEORY X AND Y	One of the areas of management that has considerable interest to supervisors and managers is the work of Douglas McGregor, particularly his Theory X and Y assumptions about people which affect a supervisor's behavior toward his subordinates.
FILM PART I	Let's look at the first film of the two-part Gellerman series on Theory X and Y.
	- SHOW FILM. PART I. -
PRINTOUT P26	After the film, refer to PRINTOUT P26 which summarizes the major points of the two theories.
	DISCUSS.
FILM PART II	- SHOW FILM. PART II. -
	DISCUSS.

PRINTOUT P26 - 4, 5, 6, 7, 8	Look at PRINTOUT P26 - 4, 5, 6, 7, 8
INSTRUCTOR'S NOTE	Participants may work first in small table groups to react to the questions in the printout and then in general discussion.
CONCLUSION	Conclude the session with a summary if necessary.

UNITED STATES CIVIL SERVICE COMMISSION
Interagency Training Program

SESSION VI

ALTERNATIVE B

In this session, we are going to spend a little time exploring some of the ideas and practices that represent current thinking in the field of management. As a background for our discussion and to increase your understanding of how some of the major theoretical positions were developed, I would like to start by tracing the evolution of managerial thought.

BIBLE	Many people feel the origins of organizational theory actually go back to the solutions proposed by Moses and his father-in-law, Jethro, when he divided his people into 10's and 100's and 1,000's so that all of their administrative problems could be properly examined.
ROMAN EMPIRE	We know that histories of the Roman Empire contain a lot of information on how administrative problems were handled--a testimony to the concerns of that highly organized state.
THE ROOTS OF ACCOUNTING	However, in spite of the fact that administrative problems received considerate attention through the ages, it was not until the end of the Dark Ages and the growth of commerce in the Mediterranean (in the 13th and 14th Centuries) that the first tool of analysis was developed--double entry bookkeeping.
ECONOMICS	It was not until the late 1700's and the rise of capitalism that the field of economics received much attention.
INDUSTRIAL REVOLUTION	Finally in the early 1800's some of the more forward looking social reformers began to be concerned about the "social evils"--particularly the employment practices which accompanied the spread of the Industrial Revolution. By the 1830's scientists and other persons not directly related to industrial ownership began to explore ways in which improvement could be made in management.

FREDERICK TAYLOR

Most writers agree that the concentrated study of management really began with the work performed by Frederick W. Taylor and his associates during the scientific management movement that developed around 1900. Taylor, known as the "father of scientific management," stressed the idea that the core of his approach to management was not in individual techniques but in the development of a new attitude toward managing a business enterprise.

The essence of scientific management involves these concepts:

SCIENTIFIC MANAGEMENT

1) Identification of basic work elements

2) Identification of management's function in work planning (rather than allow workmen to choose their own method)

3) Selection and training of workers to foster cooperation (instead of emphasis on individual effort)

4) Division of work between management and workers

We will see later on that Douglas McGregor also stressed the importance of management's attitude rather than merely relying on a set of practices or techniques.

GANTT CHART

At the same time an associate of Taylor's named Henry L. Gantt was making his own contribution. Gantt emphasized the psychology of the worker and the importance of morale in production. His charting system for scheduling production, known as a Gantt Chart, is still commonly used today.

THE GILBRETHS

Frank and Lillian Gilbreth, immortalized by Myrna Loy and Clifton Webb in "Cheaper By the Dozen," did considerably more than produce a big family. Considered to be the originators of time-motion study, they took an analytical approach and stressed the importance of giving attention to minute details of work. To record the worker's motions they developed a whole system of shorthand symbols which came to be known as "Therbligs."

UNITS OF PRODUCTION

During the 1920's and 1930's, scientific management fell into the hands of so-called "efficiency experts," many of whom used Gilbreth's time-motion techniques but failed to apply them with human understanding. It was during this period that critics pointed out that the scientific approach treated workers as units of production and failed to consider the human and interpersonal needs of the worker.

HAWTHORNE EXPERIMENT (1927-32)

Partly in reaction against the precepts of the efficiency experts, a Harvard sociologist named Elton Mayo and a team of social scientists conducted a series of experiments in a Western Electric plant. This study, known as the "Hawthorne Experiment," indicated that psychological factors--rather than physical factors such as lighting and working conditions--were the most important in accounting for variations in productivity in the plant.

CHESTER BARNARD

Much of the current thinking in the field of management can be traced to the work of Chester I. Barnard, a practicing executive. Barnard introduced the concepts of informal organization, status, and management communications in his book entitled "The Functions of The Executive" (1938).

NOTE--Barnard's book is difficult to read; an interpretation by Paul E. Torgersen, A Concept of Organization, is easier to read.

The results of the Hawthorne Experiment and the work of Chester Barnard and others clearly established that the study of management must involve an inter-disciplinary approach. Since the 1930's the development of managerial thought and theory has accelerated and diversified. Through the high production-high employment years associated with World War II and the various industrial ups and downs since that time, industry and government have considered many new nearly-new approaches to the problem of increasing worker productivity. At the core of this dilemma are the questions--what is motivation, where does it come from, and how can we use it to achieve organizational goals?

Each of the men we are going to talk about in the next few minutes has taken a slightly different approach to the resolution of these questions. But all are related, and some theories rest on conclusions drawn from the work of the others. As examples of current and important innovations in the field, we will consider the work of Maslow, Gellerman, McGregor, Herzberg, and Myers. Other researchers have been omitted in the interest of time, but the works of Peter Drucker, F. J. Roethlisberger, Rensis Likert, and Kurt Lewin--just to mention a few--are well worth exploring.

BIBLIOGRAPHY HANDOUT I-1

You might find the bibliography offered with this course useful in selecting texts for your continued research in the field.

MASLOW

One of the oldest theories of individual motivational drives is expounded by Abraham Maslow. Basically, what Maslow says is that man is driven or motivated to work because he has a variety of needs which he seeks to satisfy. These needs can be arranged in a series of levels--indicating the ascending order of importance. This has come to be known as the "Hierarchy of Needs" concept.

HIERARCHY OF NEEDS

(explain concept here)

NEEDS WHICH ARE MET-NOT MOTIVATORS

Maslow, who died in 1970, argued that the average employee in the United States today is paid a sufficient wage to fulfill his physiological needs, and because of unions, tenure, employee appeal boards, and pressure for a good public image, most people feel their need for safety and security on the job is also met. Under these circumstances man's first and second order of needs fail to be a continuing motivator.

GROUP STANDARDS

The third order is based on man's social needs, his need to belong, his need to associate with other people, his need to be accepted by his fellows, and his need to give and receive friendship and love. Many of man's social needs are met by his associations with co-workers on and off the job. So, you may well ask, if this need is also met, how can it be a motivator? Most people, because of their need to belong and to get along with their

co-workers, feel obligated to produce at least that amount of work which the group considers a standard day's standard. The individual may be disinclined to do more than the group's "norm," but at least he will be motivated to do enough to keep himself in the good graces of his colleagues.

PSYCHOLOGICAL ADVANTAGE SCHOOL
/Gellerman/

A second school of thought which attempts to explain how people are motivated on the job has been spelled out by Saul Gellerman (among others). This theory, sometimes called the school of "psychological advantage," basically says: There is only one underlying order to human behavior which can be observed on the job--people constantly seek to serve their own self-interests, which change as they grow older. In other words, the term is used to describe what an individual believes constitutes his own best interests, thus the psychological advantage toward which he will work. How the worker assesses his best interests depends on what he believes he can accomplish, based on his evaluation of his environment and his ability to shape that environment.

CAUSES OF PROBLEMS

Problems arise because people do not share a common belief of what is of value to them; they tend to define their best interests in an enormous variety of ways; and, since they see their best interests in a variety of lights, they work in many opposite and competing directions.

RELATIONSHIP TO MASLOW

The adherents of this theory feel that the determinants of one's psychological advantage are a function of man's basic needs, as Maslow described them, and also of man's circumstances in life--that is, of such factors as his singular combination of age, intelligence, past experience, etc.

MOTIVATION-HYGIENE (Herzberg)

A popular and very intriguing theory in the field is the Motivation-Hygiene Theory, developed by Dr. Frederick Herzberg (of Case Western Reserve). Herzberg's work is also similar to Maslow's, and yet it is significantly different in some respects. While Maslow felt that man was motivated by a hierarchy of needs in which one need must be satisfied before another is challenged, Herzberg maintains that man has a variety of needs which are simultaneously pursued and which come in no stereotyped order.

Five factors stand out as forces of strong job satisfaction: achievement, recognition, the work itself, responsibility, and advancement. Conversely, the strong job dissatisfiers are company policy and administration, supervision, salary, interpersonal relations with supervisors, and working conditions. Basically, the dissatisfier factors describe the environment in which work is done, rather than the feeling associated with actually doing the work. For this reason, Herzberg has named them hygiene or hygienic factors, thus drawing a parallel between the medical use of the term hygiene connoting "preventive and environmental" and on-the-job factors which are preventive and environmental.

On the other hand, satisfiers are factors which create a high level of motivation--in a positive direction. Failure to provide an opportunity to pursue these satisfying or motivating aspects of the job presumably will increase the sensitivity of employees to real or imagined bad job hygiene. Consequently, the amount, kind, and quality of the hygiene factors need constant attention by management if a sustained level of performance is to be obtained.

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MAINTENANCE-MOTIVATION SCHOOL

M. Scott Myers of Texas Instruments, Incorporated, has extended Herzberg's analysis and research to a much wider range of occupations. As a result of his analysis of the different levels of employees in the organization, Myers was able to dichotomize between two fundamental groups which he terms motivation-seekers and maintenance-seekers. Motivation-seekers are usually inner-directed, self-sufficient persons; they are influenced primarily by the task itself and can tolerate a high degree of poor environmental factors. On the other hand, maintenance-seekers are motivated primarily by the nature of their environment; they tend to avoid motivational opportunities and are chronically preoccupied with job factors such as pay, supplemental benefits, type of supervision, etc. The kind and quality of work is of little significance, although they may succeed through sheer talent.

ENVIRONMENTAL INFLUENCE

The most significant of Myer's findings was that although an individual's orientation as a motivation-seeker or a maintenance-seeker is fairly permanent, it can be influenced by environment. Myers' studies indicated that any individual or any job will find himself either in a group of maintenance-seekers or a group of motivation-seekers, and will tend to embrace or adopt the preoccupations of the group with which he is associated.

THEORY X and THEORY Y

Most managers are familiar with the essence of Douglas McGregor's Theory X and Theory Y, which he expounded in his 1960 book, "The Human Side of Enterprise."

Theory X managers are men who assume people dislike work and will avoid it if they can; Theory Y managers are men who believe their subordinates find working as natural and fulfilling as play or rest.

PRINTOUT P26

This handout lists the assumptions about people which underlie McGregor's Theory X and Theory Y.

Douglas McGregor is generally credited with being one of the most influential behavioral scientists of our time. He was not so much a researcher as an interpreter and clarifier of the research of others.

In Theory X and Y, McGregor was trying to account for certain aspects of human behavior. McGregor stressed the fact that most attempts to influence others' behavior are actually based on a set of assumptions which are seldom tested or even recognized as assumptions. That is, most people (managers) act as if their underlying beliefs about human nature were correct and required no particular review or checking.

Because our behavior tends to be consistent with our assumptions, our overt attempts to influence other people usually include some indications (usually subtle, and not necessarily noticeable to ourselves) of what those assumptions are. In other words, the way in which we deal with each other usually communicates something about the way in which we feel about other people's ability and reliability. These assumptions of ours are more likely to be communicated by gestures, expressions, tones of voice, and other subtle cues than by the actual words we use.

We will explore these concepts further this afternoon when we look into the area of communications. We will also see a film depicting McGregor's work, but before all of that, I want you to consider several comments made by some of his closest colleagues and see what your experience has been.

PRINTOUT P26-4

Have group respond individually--then volunteer answers.

CRITIQUE

Both Maslow and Herzberg have useful points to make, but none seems to offer the whole answer for the supervisor.

MASLOW

For example, the main strength of the Hierarchy of Needs theory lies in the fact that it gives a universal explanation as to why people are motivated to work. Unfortunately, its strength is also a weakness. It is too universal and all-encompassing.

GELLERMAN

Gellerman's Psychological Advantage School has a good deal more to offer the practical supervisor; its main strength is a rather common sense interpretation of how people view life on the job and the factors which motivate them. Presumably the supervisor should appeal to, reinforce, and ultimately rely on a man's successes as he progresses through the three stages of human growth. However, these admonitions are useful only with people who are, or have been, successful on the job; they offer little help in dealing with those who are unsatisfactory performers and who represent the real problems in motivation.

HERZBERG

The Motivation-Hygiene theory of Frederick Herzberg highlights the fact that people do receive satisfaction on their jobs from what he terms motivators; they are dissatisfied and, therefore, presumably demotivated on the job by the environmental or hygiene factors. There are some cues for action here--the supervisor can make sure that government policy (EEO, merit promotion, etc.) is administred fairly; if he has subordinate supervisors or working leaders, that they are technically competent; and he can check to see that working conditions are satisfactory, etc. However, Herzberg claims that the really effective managerial

actions should be concentrated on the motivator elements. Unfortunately, few government supervisors are in a position to take very constructive action in terms of giving their people the opportunity to gain a feeling of real achievement, pleasure in the work itself, an understanding of the rewards connected with winning recognition or advancement, or the feeling of power obtained by holding a responsible position. These satisfactions usually come <u>after</u> the employee has achieved, been promoted, been in a position of responsibility, and so forth.

MYERS

The Maintenance-Motivation School of Myers is subject to many of the strengths and weaknesses of M-H above. However, Myers does point out that maintenance-seeking groups of subordinates may be dealt with more effectively through the routine procedures available to the typical manager.

And McGregor points out that the philosophy of management by direction and control does not motivate because the human needs upon which it depends...the physiological and safety steps of the hierarchy (Maslow)or the "dissatisfiers" identified by Herzberg...are relatively unimportant in most industrial and government enterprises today.

We are left with the question then--is it really possible for theory to be integrated meaningfully into the practical world? I think the answer is yes, it is possible... people like George Odiorne and Peter Drucker have written a number of books which translate these concepts from academic jargon into practical business terms. Some recent examples include the adaption of management by objectives to the whole problem of performance evaluation and continuous feedback (we will explore this later in greater depth) and the adaptation of systems theory--sometimes called situational management--to our world of work.

SYSTEMS APPROACH

The systems approach to interpreting the motivational drives of employees is an effort to recognize that people are complex individuals who have interactions and interrelationships with one another...they are motivated both by tangible factors (i.e., money and fear of reprisal) and by psychological elements (the need for love, affection, and belonging).

In searching for the right path to good management, the systems manager is encouraged to view the work place as a system composed of men, materials /machines/, and money. In considering the total work environment, the manager/supervisor considers not only the mode of production being used in his unit, office, or division, but also the people and their individual attitudes and feelings. He then makes the decision on how to supervise in response to this total picture. This does not mean that he necessarily acts in the same way every time he makes a decision; he acts in the manner he thinks is most appropriate for each situation.

INSTRUCTOR REFERENCE

MANAGEMENT THEORY

1. FREDERICK TAYLOR--father of scientific mgmt. Introduced time study to mgmt.

2. DOUGLAS MCGREGOR--Theory X and Y. Assumptions about people which can affect a leadership style. "The Human Side of Enterprise."

3. HENRY L. GANTT--developed charting techniques for scheduling. PERT is an outgrowth of Gantt charts. Emphasized the importance of good working relations between labor and management. Milestone charts.

4. FRANK and LILLIAN GILBRETH--developed time and motion studies which laid foundations for modern methods of job simplification, work standards and incentive wage plans. Developed process chart and flow diagram.

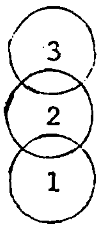
5. ELTON MAYO--concerned with human and social factors in industrial relationships. Led the research team for Hawthorne experiment at Western Electric.

6. CHESTER BARNARD--leader of the sociological school of mgmt. Concerned with the informal organization and authority.
   "Authority is the character of a communication order in a formal organization by virtue of which it is accepted by a contributor to or member of the organization as governing the action he contributes; i.e., as governing or determining what he does or is not to do so far as the organization is concerned."

7. HERBERT SIMON--established "decisionmaking" as a mgmt. term. Developed an interdisciplinary mgmt. approach. Also used math/statistics and computers in mgmt. research.

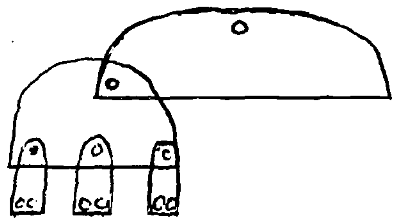
8. F.J. ROETHLISBERGER--made a comprehensive report on Hawthorne experiment. Led in experimental research on human factors in mgmt.

9. RENSIS LIKERT--"linking pin" concept. Get away from "one-boss" concept. Claims that a mgmt's effectiveness depends solely on its human organization. LINKING PIN--a coordination concept in an organization in which certain people/positions/departments have influence in more than one organizational sphere.



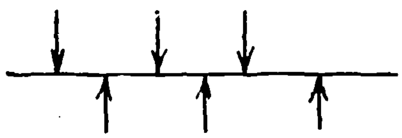
2 is influential in 1 and 3

LINKING PIN



10. KURT LEWIN--developed research and theory of group dynamics. Driving and restraining forces concept of achieving change in groups.

Equil.



restraining

driving

To achieve + change, reduce restraining forces but do not increase driving. First to apply gestalt psych. to individual personality viewed as a dynamic system influenced by environment.

11. ABRAHAM MASLOW--hierarchy of needs. 5 levels--physiol. → self-actualization. Need to consider these 5 levels primarily for understanding human motivation.

12. FREDERICK HERZBERG--motivation hygiene theory; motivators vs. maintenance. Emphasizes need for growth opportunities on the job.

13. M. SCOTT MYERS--from Texas Instruments, Inc. Advocates employee participation in setting production goals and stds. Agrees with and has done work along same lines as Herzberg. Has done considerable work in on-the-job training. Labels employees as motivation or maintenance seekers.

14. WARREN BENNIS--worked on clarifying Theory X and Y. Succeeded McGregor as chairman of the Organization Studies Group at M.I.T. (Sloan School of Mgmt.). Deals with mgmt. of change.

15. GEORGE ODIORNE--related Management by Objectives techniques to management decision-making through the systems approach including game theory, cybernetics, operations research and systems engineering.

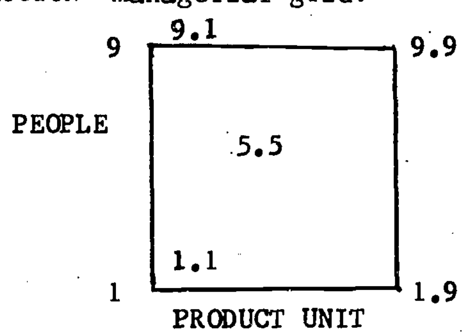
16. SAUL GELLERMAN--mgmt. consultant. Motivation and behavioral sciences oriented. Believes that conventional rewards and punishments do not offer a practical motivational strategy. Feels that the application of behavioral science knowledge to organizations can best be accomplished through wiser and more imaginative administration.

17. HARRY LEVINSON--consultant. Concerned with the psychology of management; deals with the problem of mental health and the meaning of work. Concerned with a person's self-concept. BOOK: "Executive Stress."

18. LAURENCE J. PETER--Peter Principle: everyone in a hierarchy reaches his level of incompetence. Peter Prescription: foreward to a better life.

19. MARY PARKER FOLLETT--one of the first to advocate the value of human relations to the basic principles of organization; mgmt. must continually adjust to the total situation; manager must handle conflict by a) domination, b) compromise, or c) integration. Integration involves 1) differences being brought out into the open, 2) re-evaluation must be done by all parties, and 3) each person involved should avoid the limitations of his own position and seek a new integrated position acceptable to all. Puts emphasis on the individual; group process approach to solving problems.

20. BLAKE AND MOUTON--managerial grid:



5 theories of managerial behavior.

21. CYRIL NORTHCOTE PARKINSON--famous for Parkinson's Law--The number of employees and the quantity of work to be done are not related. Staff accumulates without regard to quantity of work (usually 6% increase per year).

22. HENRI FAYOL--14 Principles of Management--applicable to all forms of organized cooperation. Mining Engineer (French).

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23. JEREMY BENTHAM--developed theory of consumer's choice. Decision-theory school is an outgrowth of this.

24. CARL ROGERS--much work in questioning techniques; "directive" -- "non-directive" ?'s.

25. PETER DRUCKER--MBO. Concerned with executive effectiveness. 5 mgmt. practices should be developed: 1) mgmt. of time, 2) choosing what to contribute to the organiza., 3) knowing where and how to mobilize strength for best effect, 4) setting up right priorities, 5) effective decision making.

26. MAX WEBER--pioneer in development of a theory of bureaucracy. Also involved in behavioral science emphasis in mgmt. Investigated the role of religion in economic development. Protestant Ethic and the Spirit of Capitalism--stated that the accumulation of wealth was stimulated by the Puritan's interpretation of earthly success as a badge of salvation.

27. CHRIS ARGYRIS--concerned with human personality and the organization. Claims cultural values have important effects on employee organizational behavior.

28. KEPNER-TREGOE APPROACH--problem-solving technique. "What is? What is not?" Problem analysis.

29. CENTRALIZATION/DECENTRALIZATION--organizational designs for authority levels for decision making. Central office vs. individual field offices.

30. TEAM BUILDING--group technique/s aimed at improving ease of working relationships of a group through identifying and dealing with the inhibiting forces preventing cooperative "team" spirit. May or may not involve sensitivity training.

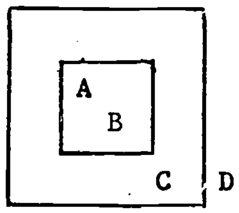
31. ORGANIZATIONAL DEVELOPMENT (OD)--an approach to the management of organizations that recognizes human interpersonal process, as well as formal structure and content, as important and legitimate subject matter to be examined. This involves: a) a set of methods to address the above (behavioral science technology), b) an organization ethic that seriously and purposefully attends to the humanness of the people who work within.

32. SENSITIVITY TRAINING--a technique aimed at making men more sensitive to themselves and others and to make them aware of how consciously and unconsciously they affect others and others influence them. Comes under much criticism as dangerous and detrimental if not very carefully done.

33. PERT/CPM--programmed evaluation and review technique/critical path method. Both are scheduling and controlling techniques using configurations. PERT developed in early 60's by Booz, Hamilton and Allen for Polaris project. PERT put project 2 yrs. ahead of itself. CPM is essentially the same; uses different calculations.

34. GAME THEORY--technique used in studying economic, political, and social phenomena. Primarily concerned with the choices and actions of players in a given situation or game. Situation played may be one of conflict, cooperation, etc.

35. SOCIOGRAM--a configuration of social relationships in any group using the designations "in," "out," and "fringe."



36. MANAGEMENT PROCESS SCHOOL--views mgmt. as a universal & practically identical process regardless of its sphere of operation--gov't., industry, or institutional. Analyzes manager's functions of planning, organizing, staffing, directing, and controlling. Recognizes social sciences but doesn't actively incorporate them. Henri Fayol an exponent.

37. BEHAVIORAL SCHOOL--claims mgmt. should be centered on interpersonal relations since mgmt. is getting things done with and through people. Exponents: Gantt (to a degree--concerned w/psychology of human relations). Elton Mayo. Mary Parker Follett. Chester Barnard (also social system school). Also, Simon and Argyris.

38. SOCIAL SYSTEM SCHOOL--closely allied to behavioral school. Mgmt. is a system of cultural interrelationships. Identifies nature of cultural relationships of various social groups and attempts to show them as a related, usually integrated system. EXPONENTS: Barnard-- father of this school. Herbert Simon.

39. DECISION THEORY SCHOOL--rational approach to mgmt. decisions--the selection from among possible alternatives of action or of an idea. Draws much from economics, math--models, indifference curves, etc. Movement to incorporate the human system to develop a broader consideration beyond evaluating alternatives. Quantitative technique.

EXPON: Models design--Ford Harris,
Probability--Owen, Cooper,
Theory Wilson, Mueller,
Dodge, Romig,
Shewhart.

40. MANAGEMENT BY EXCEPTION--take affirmative action or "manage" only when a problem occurs. System of identification & communication that signals the manager when his attention is needed.
6 KEY ELEMENTS--measurement, projection, selection, observation, comparison, decisionmaking. (Bittel, Lester R.--Mgmt. by Exception.)

41. PARTICIPATIVE MGMT--involves human element at all levels in decisionmaking. Involving all who may have a vested interest to contribute input for decisionmaking.

42. MANAGEMENT BY OBJECTIVES (MBO) EXPONENTS--Drucker, Odiorne. Known also as Management by Results, Goals Management. DEF.: The establishment of effectiveness areas and stds. for managerial positions and the periodic conversion of these into measurable time-bounded objectives linked vertically and horizontally and with future planning.

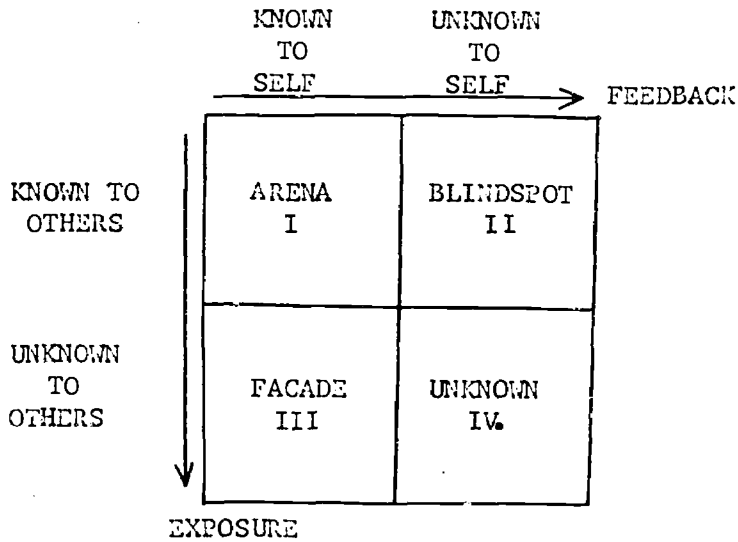
43. SYSTEMS APPROACH--an integrated, total approach to mgmt. involving the cooperative interaction of all subsystems--3 basic levels: technical core activities, intraorganizational interactions and interinstitutional relationships. Seeks an open system interacting with environment.

44. TRADITIONAL SCHOOL--also Scientific Mgmt. Concerned with the systematic observation of things of production research and analysis of shop operation. Centers on efficiency and production. EXPONENTS: Taylor, Gilbreths. Economists: Babbage, Smith.

45. GROUP PROCESS SCHOOL--concerned with group dynamics in the organization. Examines the manner of the group as it proceeds toward goal accomplishment.

46. MANAGERIAL GRID--Blake and Mouton's configuration to show mgmt. emphasis on people and production. (9,1) (1,9) (5,5) (1,1) (9,9) management types. 9,9--ideal to shoot for.

47. JOHARI'S WINDOW--a graphic model of interpersonal and team processes. An information processing model.



48. PARETO'S CURVE--in any series of elements to be controlled, a selected small fraction, in terms of numbers of elements, always accounts for a large fraction, in terms of effect.

    SOME THINGS HAVE MUCH GREATER IMPACT THAN OTHERS.

49. LINKING PIN--Rensis Likert's concept of coordination. See Likert item 9.

50. TIME AND MOTION STUDIES--mgmt. device used to measure time allotments to go through particular production movements. Use photography (time lapse), motion pictures, written records. Gilbreths.

51. ROLE/ROLE PLAYING--a posture assumed by people in a group either assigned, self-appointed by virtue of occupation, position, personality. Training device used to simulate different circumstances and conditions in which a person assumes an identity which he is asked to play out.

52. JOB ENLARGEMENT--adding more of the same variety to a job. Ex. dishwasher--not only dishes but pots, silverware, etc.; typist--more of different kinds of typing.

53. JOB ENRICHMENT--adding growth factors to a job to make it more challenging.

    Ex. dishwasher--does dishes, pots, etc; sweeps floors; perhaps make coffee, etc., to begin doing higher things.

    Typist--typing; personally answering simple inquiries by phone or letter; conducting training of new typists, etc.

54. JOB RESTRUCTURING--adding aspects which were never in job before essentially producing a new job as the end product.

55. WORK MEASUREMENT--application of time, quantity, quality stds. to job production.

56. WORK SAMPLING--part of work measurement--to select certain products to be measured as representative samples.

57. THEORY X AND Y--McGregor's assumptions about people which affect management style. NOT MGMT. STYLES THEMSELVES.

58. MILESTONE CHART--a chart showing points of completion usually in a production operation. Shows several phases and whether or not they are on schedule, which will most likely be completed and which will not.

59. PARKINSON'S LAW--See Item #21. Staff accumulation.

60. HIERARCHY OF NEEDS--Maslow's 5 levels of human needs which help to explain human motivation.

61. MOTIVATION/HYGIENE THEORY--Herzberg's list of factors in the work environment which motivate or maintain.

62. TRANSACTIONAL ANALYSIS--an approach to analysis of human interactions which forces the individual to confront the fact that he is responsible for what happens in the future regardless of the past. Analysis is accomplished through the identification of 3 elements of a person's makeup: The Parent, Adult, and Child.

References: "I'm OK, You're OK." Thomas Harris.
"Born to Win." James & Jongeward.

UNITED STATES CIVIL SERVICE COMMISSION
INTERAGENCY TRAINING PROGRAM

SESSION VII

LABOR MANAGEMENT RELATIONS

The basic format for this session is lecture/discussion with four case examples interspersed to illustrate specific points from the planned session material. The session may be presented by an outside speaker or the course instructor.

COMMUNICATIONS EMPHASIS	During our course this week we have been examining various forms of communication methods and techniques including briefing and listening techniques as well as various management theories.
BILATERALISM	For this segment of our program we will be discussing a different form of communications, namely, "bilateralism," or more commonly known as "labor management relations."
E.O. 10988 E.O. 11491 (as amended)	In the Federal Service, "labor-management relations" extends as far back as the 1850's; however, this relationship was not officially recognized until 1962 when President Kennedy issued E.O. 10988, (Employee-Management Cooperation). Currently, we in the Federal Service are operating under E.O. 11491 (as amended) which was issued in 1972 by President Nixon.
	Let's look now at the union growth rate between 1960-1970.
Statistics are to show the rapid rate of unionization among public sector employees. The top 3 are public sector	I. STATISTICAL INDICATORS A. Union Growth Rate--1960-1970 The Bureau of Labor Statistics (Dept. of Labor) recently issued the following statistics on the five fastest growing unions in the nation:

unions, with the No. 1 being active in the Federal Service.

1. American Federation of Government Employees - 362%
2. American Federation of Teachers - 265%
3. American Federation of State, County and Municipal Employees - 111%
4. Retail Clerk Union - 77%
5. Communications Workers of America - 62%

It is best to list the private sector figures and then to solicit responses from participants for the Federal Sector figures. (The Federal figures are as of Nov. 1971, be sure to update.) (Caution--In the Federal sector, the statement, "covered," means represented by unions, and not actual union membership.)

B. Federal Sector/Private Sector Comparison

In order to place the growth of unionization into perspective, a comparison between federal and private sectors would be helpful.

Item:	Private Sector	Federal Sector
1. Total Employees Covered	30%	53%
2. Blue Collar Employees	85%	84%
3. White Collar Employees	15%	42%

Instructor should carefully discuss these concepts to insure that they are understood.

II. KEY CONCEPTS IN FEDERAL LABOR-MANAGEMENT RELATIONS

In order to understand how and why, "labor-management" relations impacts on Federal managers, we should have an understanding of the fundamental concepts underlying the program.

Neutrality

1. Neutrality - Federal supervisors and managers cannot impede a union from attempting to organize the employees. We must remain neutral with respect to the employees joining or not joining a union.

Bilateralism

2. Bilateralism - The process by which two parties (union and management) meet as equals to consult/negotiate on personnel policies, practices and matters affecting working conditions.

Appropriate Unit

3. Appropriate Unit - A grouping of employees, usually identified by positions or organization, which, when certified by the Assistant Secretary of Labor, will in a secret ballot election determine whether they desire union representation.

Exclusive Recognition

4. Exclusive Recognition - The status conferred on a union which has won a secret ballot election to represent the employees of an appropriate unit.

Exclusivity

5. Exclusivity - The rights and responsibilities to represent all employees in the appropriate unit thru consultation and negotiation with management.

III. IMPACT OF LABOR-MANAGEMENT RELATIONS

When a union becomes the exclusive representative of the employees, there comes a subsequent impact on several areas of traditional management practices.

A. Impact on Decision-making:

Instructor may wish to use P27 to emphasize this point.

1. Prior to the advent of an exclusively recognized union, management exercised its traditional unilateral authority to decide and issue rules and regulations which it deemed appropriate. At best this approach was PATERNALISTIC, at its worst, it was AUTHORITARIAN.

2. With the advent of an exclusively recognized union, this traditional model is converted into the BILATERAL model of two party involvement. It is the process of bilateralism in which decision sharing comes to fruition with regard to personnel policies, practices and working conditions, principally thru the negotiation process.

Communications Impact

B. Impact on Communications

1. The traditional management method of communicating was through the issuance of verbal or written instructions through the chain of command. The common thread of this approach was its downward flow. Even in those rare instances where employee feedback was solicited, the response was generally meager.

Instructor may wish to use P28 on this point.

2. A significant change to be experienced by management will be in the method and manner of communicating with its employees. This comes about through the right of consultation which accrues to an exclusively recognized union. Based on this right, management is obligated to give serious and bona fide consideration to opinions and proposals of the union prior to effecting changes in personnel policies, practices and working conditions.

On such issues, management is compelled to deal through the union rather than directly with the employees.

Top management and first line supervisors

3. A significant impact will also occur in the area of top management communication with its first line supervisors. All too often the communications link between top management and line management has been feeble and deficient. With negotiations and consultations between management and union being mandatory, it becomes imperative that management establish an effective and viable system of intra-management communications.

Impact on Interpersonal Relations

C. <u>Impact on Personal Relationships</u>

With the advent of an exclusive union, there comes a change among officials of management and union. Prior to exclusive recognition, the traditional relationship was that of employer/employee. Under the concept of bilateralism, these officials are now also institutional representatives.

Instructor may wish to use P29 for this point.

1. One of the most abrupt transformations to take place is the change of an elected or appointed union official from the status of "employee" to that of an institutional representative. As a union official, he becomes a peer of management in all matters relating to labor relations. In the bilateral setting, this union official is in the position of challenging and questioning management actions under the negotiated agreement.

2. The interjection of the union and union officials into the personnel management picture can have different implications for different supervisors.

If a supervisor feels threatened by the union, he may react negatively. In such a situation, he may try to by-pass the union steward by informing employees of major developments before he discusses them with the steward. The supervisor may become so hostile that he loses the ability to objectively evaluate suggestions or complaints conveyed to him by the union steward. Finally lack of confidence in dealing with the steward may result in hostility toward higher level management.

IV. NEED FOR A MANAGEMENT TEAM ORIENTATION

Instructor may wish to use P30 to emphasize this point.

The different perspectives as viewed by each level of management frequently causes misunderstandings among the management hierarchy. These differences in points of view affect both the process of contract administration and the supervisor-manager relationship.

1. Sometimes top management does not have a complete picture of the situation on the line. Being unaware of what the facts are, top managers may fail to give line supervisors needed support, correct guidance or proper contract interpretations. When this occurs, it can lead to either lax administration or improper application of the terms of the contract.

Intra-management communications system

2. To preclude this from happening, top management must initiate an effective "intra-management" communications system. One which will continually keep line managers informed and also which will solicit the ideas and contributions of line managers.

3. Line managers, on the other hand, must identify themselves clearly as part of the management team. With the advent of "labor management" relations, line managers must make this identification clearly and forthrightly.

INSTRUCTOR REFERENCE

FOUR LABOR-MANAGEMENT RELATIONS CASES

Prior to discussing the labor-management relations cases, the instructor might want to list the following questions on the chalkboard or flipchart.

I. WHAT ARE THE PROBLEMS?

(Each case reflects more than one issue which the supervisor must be aware of. Participants, in work groups, should make a listing.)

II. WHAT ARE THE POSSIBLE SOLUTIONS?

(Again, the work groups should list the various solutions.)

III. WHAT IS THE SINGLE BEST SOLUTION?

(The work group should identify their best solution with reasons for it, and reasons for discarding others.)

IMPORTANT: The instructor and participants should be aware of the fact that these cases take place in an activity which has an EXCLUSIVELY RECOGNIZED UNION and that a negotiated agreement is in effect.

CASE NUMBER 1

I. WHAT ARE THE PROBELMS: Instructor should insure that the following issues are raised:
1. Conflict over the existing method of assigning overtime by Nancy versus the method prescribed by the agreement.
2. Budget limitations on overtime funds.
3. Nancy's desire to be supported by Paul, her supervisor, in order to keep from "losing face".
4. The temptation to "pass the buck" on the overtime distribution up through the grievance procedure.
5. Nancy's intrepretation of the agreement.

II. WHAT ARE THE POSSIBLE SOLUTIONS: Instructor should list the various solutions given by the work groups, some of which may be:
1. Allow Nancy to continue what she has been doing.
2. Ask for more overtime funds.
3. Adhere to the negotiated agreement.
4. Process the grievance through the negotiated grievance procedure.

III. BEST POSSIBLE SOLUTION: Paul and Nancy should follow the terms of the negotiated agreement, especially in a case as "clear-cut" as this. Failure to do so, could result in costly and time consuming arbi' ion. If the employee who was "passed-over" were a union offi or union member, a charge of Unfair Labor Practice could also be f ed. Paul should explain to Nancy what the agreement means a why it was necessary to overrule her.

NOTE TO INSTRUCTOR: This case points out:

a. The need and importance of uniform application and interputation of the terms of an agreement.
b. Adherence to the terms of the agreement, except in emergency situations at which time, the supervisor should first consult with the local labor relations officer.
c. Desirability of settling grievance at the lowest-level possible.

CASE NUMBER 2

I. WHAT ARE THE PROBLEMS: Instructor should insure that the following key issues are raised:

1. "Voluntary" or non-paid overtime vs. the union's demand for paid overtime.
2. Employee engaging in "job actions".
3. The supervisor's action with regard to the job action of employee.

II. POSSIBLF SOLUTIONS: Instructor to list the solutions of the work groups, some of which may be"

1. Let "job actions" continue in order to put pressure on top management.
2. Take disciplinary action against employee.
3. Inform top management of employee activity.

III. BEST POSSIBLE SOLUTION: The supervisor should immediately inform top management of any actions which he may consider to be "job actions" by employee.

NOTE TO INSTRUCTOR: This case does not have a quick and easy solution. Employee job actions are not easily solved by individual supervisors. However, the instructor should make these two points:

1. Line supervisors are part of management and therefore they MUST be alert to signs of employee job actions and MUST immediately report these actions to top management.
2. All activities should have contingency plans which identify various categories of job actions, reporting procedures and action plans. Supervisors should be informed of such plans. Supervisors should be encouraged to check with their own activities for the existence of such plans.

CASE NUMBER 3

I. WHAT ARE THE PROBLEMS: Instructor should insure that the following issues are raised:

1. Disparity between what the "book" or agreement calls for and the actual practices on punctuality.
2. Paul's personal reaction to withdrawing a reprimand which he had written.
3. The practice of Terry Hunt's crew of arriving late and its effect on the other employees.

II. WHAT ARE THE POSSIBLE SOLUTIONS: Instructor should list the solutions which the work groups develop. Some of the solutions may be:

1. Let the written reprimand stand and face the possibility of a grievance being filed.
2. Withdraw the reprimand as requested.
3. Let reprimand stand, and try to talk the steward out of filing a grievance.

III. BEST POSSIBLE SOLUTION: In view of the facts given in this case, the supervisor should "swallow his pride," and in view of the facts presented by the steward, withdraw the reprimand. Specifically, the facts raised by the steward are:

a. Jeff Black is a new employee.
b. The general practice of tardiness in the Branch.
c. The specific and continuous practice of Terry Hunt's crew in arriving 5 to 10 minutes late.

NOTE TO INSTRUCTOR: This case emphasizes two principal points:

1. The absolute necessity of all supervisors to apply with uniformness and consistency the terms and conditions of a negotiated agreement. Failure to do so can result in situations depicted in this case.
2. The responsibility of the union steward to "police" the agreement and to insure that the employees received equity of treatment.

CASE NUMBER 4

I. WHAT ARE THE PROBLEMS: Instructor should insure that the following issues are raised:

1. Bill Woodrow's directions to Paul that he apologize to Jeff Black and hold a meeting an employee meeting.
2. Woodrow's insensitivity to Paul's reaction and position.
3. Curt Wilson's practice of bypassing Paul and going direct to Bill Woodrow.

II. POSSIBLE SOLUTIONS:

1. Supervisor should attempt to get his side of the story across to Woodrow.
2. Supervisor could resign.
3. Supervisor implements Woodrow's directive.

III. BEST POSSIBLE SOLUTIONS: The supervisor should try to get his side of the story across to Woodrow and have n reconsider his decision. Failure that he should carry out Woodrow's directive with the least malice possible.

NOTE TO INSTRUCTOR: This case illustrates one of the possible adverse effects of labor-management relations. Namely, the tendency of union actions to split or breakdown the much valued concept and practice of a "management team."

Supervisors are encouraged to meet with top management officials to discuss and establish methods and means for effective intra-management communications.

UNITED STATES CIVIL SERVICE COMMISSION
INTERAGENCY TRAINING PROGRAM

SESSION VIII

PERSONNEL MANAGEMENT

The material included in this session involves Merit Promotion, Equal Employment Opportunity, and The Troubled Employee.

Specifically, the Bud March situation involving Merit Promotion, which appeared in the old Manual, is used (minus the background information on Bud March that was formerly included). Instructor's reference material is included for this case.

The new EEO material includes three discussion cases (with instructor reference materials), a printout on the discrimination complaint procedures, and a checklist on EEO for supervisors. Instructors might find the following article useful for background information: "Third Generation Equal Employment Opportunity," in the July-September 1972 Civil Service Journal.

The material on the troubled employee reflects modifications of the three role-playing situations, from the old Manual, on drugs, alcohol, and the emotionally disturbed employee--along with instructor reference guidelines. Also included is a suggested topical outline for a resource speaker, if available, on the troubled employee. The pamphlet "The Key Step" is no longer used as a printout on alcoholism. The instructor might want to refer to FPM Letter 792-4 of July 7, 1971, on Federal Civilian Employee Alcoholism Programs for background information.

If the instructor is knowledgeable in general personnel management, the approach of letting the participants decide what personnel topics they would like to discuss may be used. Early in the course week the participants might be asked to think about personnel topics they would like to have discussed. In the absence of participant questions, the prepared materials can be used.

The material from the old Manual on adverse actions is no longer included. However, if the instructor finds this topic appropriate and useful to the participants, it may be presented after updating the statistics. An update sheet for FY 72 is included for this purpose.

The communications objective for each of the personnel management topics may be viewed as the same. The following is a suggested approach:

"Dealing with the personnel area is not always easy from a communications standpoint. Emotions rise about Merit Promotion consideration, different perceptions abound on EEO issues, and the additional complexity of dealing with troubled employees makes for challenging conditions for good communications."

Discuss P31, 32, 33, 34, 35, 36, 37, 38, 39, 40.

INSTRUCTOR'S REFERENCE FOR USE WITH <u>BUD MARCH SITUATION</u>

Question--Can you identify those things which were done correctly as well as those which were incorrect or at least improper?

(1) The call to Bud is okay--but Bob Emory should have made it clear that others were being considered too.

(2) Bud should have been notified officially that, although he was among the well-qualified group, another candidate had been selected.

(3) Jim, his supervisor, was correct in filling out an evaluation form on Bud for this particular job, many agency plans require that this be done.

(4) The Personnel Assistant did okay until she refused to give Bud the selection criteria--he is entitled to the information (where vacancies are posted, this information is included in the posting). He is also entitled to know how he was evaluated; however, he is <u>not</u> entitled to see any one else's evaluation or rating.

(5) Some agency plans do not absolutely require that the candidates referred for selection be interviewed, although most do recommend that it should be done. It is considered very poor practice, however, to interview some candidates and not others even though the selecting official may know them.

INSTRUCTOR REFERENCE

POINTS FOR CONSIDERATION WITH EEO: 3 CASES

1. Reaction to term "colored fellow."
   Responsibility to employee of not keeping him in an unpleasant situation.
   Consultation with employee about possible movement out of Mike's section.
   Need for change in supervisor--behavioral and attitudinal.
   Supervisory evaluation of supervisor's contributions to EEO.
   Consultation with employee about his feelings regarding the harassment.

2. Bringing in anyone from another section as a supervisor usually causes problems. Reconcile with merit promotion.
   Consultation, if done, with Mrs. Jones about the section's feelings should not appear to be or be overdramatized to put Mrs. Jones in a position she would feel she must get out of.
   How real are threats of quitting?
   Need for affirmative action to correct the imbalance of all men in the unit.

3. Checking out of the assumption, "they are talking about her."
   Need and comfort of speaking one's native language.
   Recognition of body language:
   "...by the way they look at her."
   No seeming attempt at interaction between Anglo and Spanish employees at lunchtime.
   What can you really do if Spanish employees do not speak English particularly at lunchtime?
   Can you enforce speaking only English while on government property?
   Need for improving communication between Spanish-American and Anglo employees.

INSTRUCTOR REFERENCE
FOR
ROLE-PLAYING SITUATIONS

The following are guideline ideas for each of the three role-playing situations:

A. ROLE PLAYING--DRUGS

(The instructor will notice that in this role playing on drugs-- unlike the ones on alcohol and the emotionally depressed--the roles of the employee and supervisor are printed separately. The participants playing the employee and supervisor should not see each other's role description. Each participant should be instructed to begin the role play with the line at the end of each role description.)

--The overall objective is to refer the employee to the proper resource for help.
--Tim has come voluntarily to seek help.
--Admission of a problem by an employee is not unreal, generally depending on employee trust in the supervisor.
--Tim's job performance is still acceptable at this time.
--Assurance of no job loss at this time.
--Need for supervisor's understanding--should not come on as very critical.
--Get employee to talk and ventilate as much as he wants.
--Indicate clearly that you the supervisor will check into what agency guidelines there are on drug problems; that you will be calling employee relations for guidance.
--Find out at the end of your discussion if the employee wants to remain at work or be placed on sick leave.
--When the supervisor calls employee relations, ask what policies there are on employees with drug problems. If asked by employee relations, indicate at least that you suspect you may have such a problem in your unit.
--If class participants complain about employee relations, ask them to consider where else they might go. The question of bypassing the organizational chain of command with problems. Help personnel do their job.

B. ROLE-PLAYING--ALCOHOL

--The overall objective is to discuss the performance problem, <u>not</u> to diagnose alcoholism, and to refer employee to an appropriate source of help.
--This is a case with a deteriorating performance history. Supervisor should be prepared with documentation on attendance and performance records.

--The supervisor can give the employee a chance to "straighten out," if requested, but should exact a time frame of checking the employee again. If improvement does not occur, the employee should be told that he will be referred to an agency referral point for help.

--Supervisor should find out about specific agency referral points.

--May need to address the promotion which the employee didn't get if the topic is brought up. Possible need for "leveling" with employee. If employee does get agency help, most likely the topic will come up, with professional guidance to aid.

C. ROLE PLAYING--EMOTIONALLY DEPRESSED

--The overall objective is to deal with job performance and to be prepared with documentation.

--If requested, allow time for employee to "straighten out" but indicate a time frame when you will check performance again.

--Ascertain referral points. Usually employee relations/health unit.

--Need for supervisory understanding of conditions affecting job performance.

SUGGESTED TOPIC OUTLINE FOR
RESOURCE SPEAKER: THE TROUBLED EMPLOYEE

I. Today's Society
   A. Wide use of external controls on human behavior
      1. "pill-popping"
      2. TV, magazine, etc., advertisements as reinforcements (examples)

   B. Dependencies--psychological/physiological
      1. smoking
      2. drugs - tranquilizers, barbiturates, amphetamines, heroin, LSD, marijuana, alcohol
      3. food

II. Today's Work Society
   A. Troubled Employee
      1. alcoholic
      2. drug abuser
      3. emotionally disturbed employee

III. Troubled Employee Programs
   A. History
   B. Role for today's supervisor
      1. <u>not</u> as a diagnostician
      2. role of performance appraiser
      3. referral to appropriate resource (usually personnel office in employee relations)

IV. Definitions of Alcoholism, etc. See page 3 of Attachment to FPM LETTER No. 792-4, July 7, 1971.

INSTRUCTOR REFERENCE

ADVERSE ACTION STATISTICS*
FY 72

Total adverse action appeals RECEIVED by CSC's Board of Appeals and Review	1,211
Total adverse action appeals DECIDED BY CSC's Board of Appeals and Review	1,138
Number of adverse action appeals in which agency action was AFFIRMED	945
Number of adverse action appeals in which agency action was REVERSED	144
Adverse actions reversed on PROCEDURE	66
Adverse actions reversed on MERIT	78
Adverse action appeals CANCELLED	16
Adverse action appeals REMANDED to regional office level	33

*THESE FIGURES ARE FOR ADVERSE ACTIONS ONLY. Reductions in force, EEO, probation, suspensions under 31 days, reemployment priority, salary retention, suitability, within-grades, disability vs. legal retirement, examination ratings, classification, and performance evaluations ARE NOT included in the figures.

UNITED STATES CIVIL SERVICE COMMISSION
INTERAGENCY TRAINING PROGRAM

SUMMARY, CONCLUSIONS, AND COURSE EVALUATION

The course director should conclude the program as deemed appropriate for the particular group of participants.

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